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for
Supplements to ARIS On-Line Manual

WEB SITES

ARS National Programs - http://www.nps.ars.usda.gov/
        ... National Programs and related information

NPS Intranet - http://www.npstaff.ars.usda.gov/
        ... National Program Staff

Office of Scientific Quality Review (OSQR) -http://www.ars.usda.gov/osqr/
        ... Project Plan Peer Review Process

USDA-CSREES - http://cris.csrees.usda.gov/
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POLICIES & PROCEDURES, MANUALS & BULLETINS

P&P 315.0 Research Authorization and Administration of Research Funds (ARS),
09/16/94

Manual of Classification of Agricultural and Forestry Research, Revision V and
VI http://cris.csrees.usda.gov/star/manual.html

Manual 280.0M Extramural Agreements Manual (ARS), 3/30/94

P&P 321.1 Acceptance of non-Appropriated Funds to Conduct Research or Perform
Services, 07/06/95

P&P 324.0 ARS Reimbursable and Trust Fund Agreements, 12/15/99

H1500 Interagency Agreements (EAA Handbook), 5/22/91

P&P 329.5 Assessment of Indirect Program Support Costs and Indirect Research
Costs (ARS), 8/12/94

Bulletin 98-306 Indirect Program Support Costs Policy, 10/01/98

P&P 350.1 Awarding Funds to non-Fed Organizations for Support of Scientific Meetings (ARS), 9/01/93

P&P 151.1 Publishing (Print and Electronic), 5/21/98

P&P 152.1 Procedures for Publishing Manuscripts and Abstracts with Non-USDA Publishers (Outside Publishing), 3/10/98

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P&P 152.2 Authorship of Research & Technical Reports & Publications (ARS), 5/12/97

P&P 153.1 Videotapes (ARS), 10/22/97

MISCELLANEOUS

ARS Resource Management System (ARMS) FY-xx ARMPS (Annual Resource Management Plan System)

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Agricultural Research Information System – Acronyms & Definitions	
Allocations	CRIS 'base funds' on a 'CRIS net to location' basis, and temporary i.e., one-time releases. Based on program direction by NPS.
ABFO	Area Budget and Fiscal Officer.
Base-Funded Projects	Projects that receive recurring dollar allocations at the beginning of each Fiscal Year, in contrast to temporarily funded projects.
BT Assessment	The Agency is mandated by Congress under the authority of section 1668 of the Food, Agriculture, Conservation and Trade Act of 1990 (7 U.S.C. 5921) to assess at least 1 % from the outlays of the Department for research on biotechnology for the purpose of making grants under this section for research on biotechnology risk assessment. Thus, any project having BT coding on the 417 will be assessed a charge each fiscal year. (Shown as a negative figure on the ARMP allocation in the temporary column.)
BRCOM	Biosafety Special Classification Code. Used in conjunction with the BT code for those projects requiring identification of the biosafety level. Must have a BT code on the AD-417 before using.
BTER	Biotechnology – Environmental Release Special Classification Code. Use of living organisms, cells, subcellular organelles, and/or parts of those structures, as well as the molecules, to effect chemical or physical changes needed to generate new products for research and commercialization. Specifically, biotechnology is the use of genetically engineered recombinant nucleic acid molecules to effect desired changes in biological materials; and which includes environmental release as a part of the experimental plan. Must have a BT and BRCOM code before using.
Budget File	An automated file containing up-to-date dollar allocation data for each project; maintained by the Budget and Program Management Staff.
Extramural Agreement	A legal document that enables ARS to obtain research or research-related services from organizations or individuals outside ARS (Specific Cooperative Agreement, Contract,

Extramural Research Project	A project conducted by individuals outside ARS using ARS funds and supplementing ARS research effort on a particular problem.
F/T	Fund Transfer, either Temporary or Permanent.
Financial Plan	Contains source data for entry in the Foundation Financial Information System (FFIS) of the National Finance Center (NFC); derived from the Annual Operating Plan (AOP) of the ARMP; updated dynamically.
In-House Research	Conducted with appropriated funds.
Head Tax	An assessment against all agencies to help fund the buyouts as authorized in the legislation on buyout authorities. The purpose of this assessment is to fund future liabilities on the retirement account since these individuals will be drawing on the retirement account for a longer period of time.
IBC	Institutional Biosafety Committee. Charged with assuring that ARS research dealing with pathogenic or genetically engineered organisms use safe laboratory practices.
IPSC	Indirect Program Support Costs. BPMS is responsible for the IPSC codes and whether or not IPSC is taken or waived.
OSQR	Office of Scientific Quality Review. Peer Review Process conducted by the OSQR involves independent and expert scientific peer review of ARS in-house project plans.
Radiological Safety Assessment	An assessment made against all Radiological Safety Permit holders to fund the USDA Radiological Safety Staff.
SBIR (Same as SBG Fee)	Small Business Innovation Research Program. Assessment (2.5%) on extramural agreements (SCA).
Sibling	Term used for subordinate project of the D in-house project (R,T,S,C,G). Examples are: R – Reimbursable T - Trust

ARIS ACTION CALENDAR

Supplement to ARIS On-Line Manual

JANUARY	New Program Increases
FEBRUARY	
MARCH	Spring Cleanup of 425s
APRIL	Update Biosafety Info in Projects with BRCOM in AD-417
MAY	Print Guideline Dollars from Briefing Packet under Agency Retrievals for use in ARMP development Next FY Fund Transfer opens for data entry
JUNE	Next FY Fund Transfer data entry; Last date to add - first week in July Postdoc App Process opens for data entry - closes first week in July AD-421 Annual Research Progress Reports opens for data entry - closes October 1
JULY	Deadline to add next FY Fund Transfers (including Postdoc Fund Transfers) to be included in Final Guideline Dollars issued by BPMS in August
AUGUST	Deadline for adding funds to present FY Specific Cooperative Agreements Final Guideline Dollars available for printing
SEPTEMBER	Admin funded Postdoc applications announced at Administrator's Council; start recruitment and submit Temporary Fund Transfer once personnel on-board Update Investigator & SY time to agree with submitted ARMP
OCTOBER	Fall Cleanup of 425s Update Mission Statements Detail by Author Report of ARS-115s run for each Scientist Update Journal Acceptance Date on ARS-115s
NOVEMBER	Detail by Author Report of ARS-115s run for each Scientist Update Journal Acceptance Date on ARS-115s
DECEMBER	Cleanup siblings, 425s Final Detail by Author Report of ARS-115s run for each Scientist for inclusion in the Performance Appraisal package

Renumber siblings to agree with new inhouse projects created.
- When siblings are renumbered, please remember that 425s in the 425 Only system are also siblings and need to be renumbered.
- This should be done each time you have a project number change on the D project.

Update Biosafety Certification on projects that have BRCOM as a Special Code. The Biosafety information is found in the Approach Section of the AD-416/417.
- Do this annually, but just so you know, it's looked at every time an action on a project is done in ARIS. If the info is not current, the action is held up until the certification or recertification is updated. NOTE: Do not include city, state, laboratory name, room number or names of Scientists.

Update Regional Research Project number and percent in the AD-416/417.
- Do this any time you know of an addition, deletion or change.

CALENDAR continued …

Update mission statements in ARIS for your Management Unit.
- Do this annually or any time you know the mission of your MU or responsible party (such as RL or LAO) has changed.

If you have a newly hired or retiring or resigning ARS investigator, update ARIS projects with the information.
- Do this as changes occur.

Cleanup the 425 Only system. Terminate completed projects; check with Scientist to see if pending projects, including No Funds to ARS, have been funded or unfunded, then update ARIS.
- Do this at least twice a year.

Update Journal Acceptance Dates on ARS-115s. The performance appraisal period runs from 1/1/02 to 12/31/02 so updating and entering should be done by December 1. Final cutoff date for ARS-115 entry and submittal to the Area is December 13.
- Do this whenever you can to avoid the year-end rush.

Program Analyst

ARIS (actions and collection of documentation)
     AD-416/417
         w/425/550A
     ARS-425
     AD-421s
     ARS-115s
OSQR Coordinator

Extramural Agreements Specialist

Preparation and Execution of Agreements (but not ARIS actions)
      Specific Cooperative Agreements
      Outgoing Grants
      Research Support Agreements
      Trust Fund Cooperative Agreements
      Reimbursable Cooperative Agreements
      Assistance Type Cooperative Agreements
      Memorandums of Understanding
      Standard Cooperative Agreements

http://cris.csrees.usda.gov/

Search CRIS Now

Search Menu
The CRIS System UPDATED
Manual of Classification
Forms Assistance
Report Status and Schedule
2000 - 2001 Salary Analysis
Funding Summaries
Project Processing Flow Charts
Staff Contact Information UPDATED

Welcome to the Current Research Information System (**CRIS**) web site. **CRIS** is the U.S. Department of Agriculture's (USDA) documentation and reporting system for ongoing and recently completed research projects in agriculture, food and nutrition, and forestry. Projects are conducted or sponsored by USDA research agencies, state agricultural experiment stations, the state land-grant university system, other cooperating state institutions, and participants in a number of USDA research grant programs. **CRIS** is a part of Information Systems and Technology Management (ISTM), Cooperative State Research, Education, and Extension Service (CSREES), and is located in the Waterfront Centre in Washington, DC.

Click on the links at left to search the **CRIS** database or to learn more about **CRIS** and its products and services.

CRIS Search Menu

[Overview]	[Help]

Assisted Search	Search CRIS and subfiles (HNRIMS, ICAR, CZARIS) using a fill-in form. A number of Help screens, automatic wildcarding, and built-in search logic are provided. (updated 03/19/2002)
Professional Search	Search CRIS and subfiles (HNRIMS, ICAR, CZARIS) using a sophisticated interface. Intended for experienced users familiar with CRIS search fields, Boolean operators, and advanced search techniques. NOTE: This interface requires a javascript-capable browser. (updated 03/19/2002)
CRIS Pending Projects	Search pending CRIS projects (formula-funded only) by station code. (updated 03/19/2002)
Multistate (Regional) Projects	Search the Multistate project database using a fill-in form. A number of Help screens, automatic wildcarding, and built-in search logic are provided. (updated 11/20/2001)
Science Information System (U.S. Geological Survey)	Search the Science Information System database using a fill-in form or an "expert" search interface. This database is provided by a division of the U.S. Geological Survey. (updated 03/18/2002)

CSREES Administrative Functions *(passwords required)*

User Survey/Feedback

AD-416/417 RESEARCH PROJECTS
Supplement to ARIS On-Line Manual
Chapter 4A

Project Type Identification

D - funded by Congressionally appropriated funds (base)
  - for Inhouse research; pays salaries, supplies, etc.

D - 0500 HQS - funded by Congressionally appropriated funds
  - for Inhouse research

P - PL-480 - funded by FAS Special Foreign Currency funds
  - ARS scientist "Cooperating Scientist"

X - FAS funded projects other than the PL-480
  - for Inhouse research

T & R - incoming funds from outside sources

Trust Fund Cooperative Agreement
     Cooperative research between ARS and another party where ARS is paid in
     advance to conduct research

Reimbursable Cooperative Agreement
     Cooperative research between ARS and another party where ARS bills
     cooperator for completed work

Cooperative Research & Development Agreement (CRADA)
     Agreement to conduct technology transfer activities with the other party
     contributing funds in partial support of ARS efforts

No Funds Cooperative Agreement
     Funds not administered by ARS

S, C, G, RSA - outgoing funds

Specific Cooperative Agreement
     Agreement between ARS and another party with mutual interests and
     contributions and will directly benefit ARS inhouse research.
     Cooperation is jointly planned and executed

Assistance Type **C**ooperative Agreement
     Transfer of ARS funds to a recipient to accomplish a public purpose of
     support (will not benefit ARS directly); substantial involvement between
     ARS and recipient during performance

Outgoing **G**rant
     Transfer of ARS funds to a recipient to accomplish a public purpose of
     support (will not benefit ARS directly); no substantial involvement
     between ARS and recipient during performance

Research **S**upport **A**greement
     Cost reimbursable agreement between ARS and State Cooperative
     Institution for ARS to acquire goods and services

Creation of New Project Number

<u>"D"</u>

Find STP Code(s) on expiring or bridged project.
Use the STP Code(s) to create new project number.

FIRST 4 DIGITS ARE MODE CODE

Project with one STP Code uses the objective-approach and three zeroes, as in
  the following example:

   STP Code: <u>1.2</u>.1 1
    = 3622-<u>12000</u>-005-00D

A project with two STP Codes (two is maximum number of STP Codes a project is
allowed), both in the same objective-approach, uses the objective-approach and
three zeroes, as in the following example:

   STP Code: <u>2.2</u>.3 5
   STP Code: <u>2.2</u>.4 5
    = 3602-<u>22000</u>-006-00D

  A project with two STP codes in different objective-approaches uses the
  lower objective-approach number, followed by the higher objective-approach
  number, followed by a zero, as in the following example. (Percentages
  within objective-approaches are not determining factors.)

   STP Code: <u>2.2</u>.4 7
   STP Code: <u>1.2</u>.4 3
    = 3611-<u>12220</u>-002-00D

Siblings <u>"R,S,T,G,C"</u>

Use the Next Available Project Number when creating a **new** sibling project by
adding a 416/417 to a 425 or adding a 550A to a 416/417.

All sibling projects would use the first three sections of the related Inhouse
project.

When you renumber the siblings, renumber (start) siblings from 01 on (if the
number was 03T, don't renumber it to 03T, but renumber it to 01T).

Mission Statement

❏ The Mission Statement describes the research goals of the Management Unit.

❏ The Location Mission Statement should summarize all MUs' missions within the entire location, and should be prepared by the Location Coordinator.

AD-416/417 Supplemental Information

❏ The Inhouse D project has a 'life' not to exceed 60 months.

❏ Before entering a new 416/417, obtain the next available project number by using the Next Available Project Number screens.

❏ Choose a Project Start reason for the new 416/417.

    0 = Normal Progression
    1 = Budget Increase
    2 = Extramural (550)
    3 = Headquarters Funding
    4 = External Funding (425)
    5 = Management Savings

❏ Start Date on a D project will be modified at HQS Level to coincide with the date the funds are posted by BPMS to the new project.
    ☞ Once Active, the Start Date is never modified.

❏ Termination Date is based on the date the project falls into the National Program Peer Review Process conducted by the Office of Scientific Quality Review

❏ Total SY time listed on all Inhouse projects for any individual Scientist must not exceed 1.0.

❏ No SY time listed on R,T,S,G or C type projects.

❏ When entering Keywords, don't use same word twice or as preface to another word.

❏ Coding

    ☞ All Inhouse projects (D, R, T) are required to have
       a Sustainable Agriculture Code (SA+0) totaling 100%
       and
       at least one Farm Bill Purpose Code (FBP1 - FBP6) totaling 100%.

❏ Regional Project Number and Percent

    ☞ Make entries only if the ARS project is on record with CSREES as "contributing" to an active Regional Research Fund-supported project. Often, only part of a total ARS project contributes to a funded Regional Research Project.
    ☞ To document and report this fact correctly, enter the percent contributed, as well as the Regional Research Project Number, in the AD-416/417.

NOTE: NO MORE THAN TWO REGIONAL RESEARCH PROJECTS MAY BE SHOWN FOR A SINGLE PROJECT NUMBER. Example: NC 001-50 Indicates that 50% of this project contributes directly to the objectives of Regional Research Project NC-1.

❑ Renumber any siblings as soon as the new 416/417 is in the Active database.

Examples of Remarks

REMARKS: Receiving PERMANENT FY-02 Fund Transfer, $20,000, from 3620-21000-003-00D to support technician for soybean research.

REMARKS: Receiving TEMPORARY FY-02 fund transfer, $20,000, from 3625-21000-003-00D to cooperatively fund SCA (3622-21220-001-OO1S) on Maize Genetics Stocks.

REMARKS: Extension of time from 9/30/01 to 12/31/02, and FY-02 added funds, $20,000, to SCA with University of Illinois to complete soybean cyst nematode research.

REMARKS: Proposal to American Soybean Association, $15,000.

REMARKS: Extramural agreement (SCA) with University of Wisconsin, $35,000.

REMARKS: FY 2002 Program Increase - Bioinformatics Institute for Model Plant Species of $540,000. FY-02 Permanent Fund Transfer of $540,000 from 0101-88888-028-00D. Modified AD-416/417 per Program Increase memo.

REMARKS: Renumbered from 3625-32000-029-02S to 3625-32000-061-01S to agree with Inhouse project. 550A modified to reflect Inhouse project number.

REMARKS: Combining 3611-22000-011-00D, 3611-22000-012-00D and 3611-22000-013-00D. Permanent Fund Transfer $756,558 completed, $243,518 - 011; $242,922 - 012; $270,228 - 013. 3611-22000-015-00D in NP303 Peer Review process.

REMARKS: Replacing 3602-12220-003-00D. FY-2001 PERMANENT Fund Transfer, $765,585 completed. NP202 Peer Review process for final Project Plan certified by OSQR as complete.
Replacing 3635-31000-001-OOD. PERMANENT fund transfer of $552,331.

REMARKS: Updated Investigator and SY time to agree with FY 02 ARMP.

Status of AD-416/417

If for some reason you have a record at your level (RL Level), ask yourself, "Did I forget to sign off on an action or did I make a Work Record and didn't need to." By displaying the 416/417, you can check the REMARKS and that can serve as a clue because the remarks should always indicate what was being done -- reason for action.

When you no longer see record in Work Status, it's moved to Active. Print your Official copy from there.

In cases of siblings where you'll be receiving money (R or T), even though the project may now be on the Active side, the Status Code can still be Pending if the monies have not been posted. Funds cannot be spent until monies are posted.

In cases of siblings where you're giving money away (S), even though the project may now be on the Active side, the Status Code can still be Pending until the agreement is executed and B&F adds the agreement info.

Budget Transactions is good for looking at the history of a project. It will tell all the transactions that have been processed through ARIS for that project for any given year.

Area to Overnite

If the following items are the ONLY changes, then the record will move into
the overnite process:

    Mode Code
    Project Number
    Agreement Number/Award Date
    Investigators
    SY Time
    Keywords
    Regional Project Number
    Any combination of the above

Active AD-416/417

❏ The Active file contains existing approved projects.

❏ Modifications may be made to an AD-416/417 by creating a Work Record of the
document from the Active.

❏ Once the project has been transmitted to the next level (CD, Area, NPS,
etc.), no other changes can be made until these project actions have been
approved and the record moved from the Work file to Active.

❏ Only one project action can be in progress at a time.

❏ Any record that exists in the Work file may be modified.

❏ Explain in Remarks what the submission is for (e.g., FY2002 Permanent Fund
Transfer; extension of time; updated Investigator and SY time). Include as
much detail as possible.

Print Approved Official Project

Print official copy of action after it has been approved through all levels.
Management Unit can obtain a copy of approved action as soon as NPS Approved.

Note: If a project record appears in Work Status, it is not yet available to
print the official copy.

    Status Designations are:
    Active Project is official and research can be done;
    monitor on Termination Date.
    Pending Project/proposal has been submitted for funding;
    monitor on Start Date(requires Agreement Number, Award Date and funds
    posted to move to Active).
    Expired Project at end of or past specified Termination Date; requires
    Annual Research Progress Report to terminate.
    Terminated Project has all paperwork completed.
    Unfunded Project/proposal was unfunded by source;
    action complete.

❑ Projects have a life not to exceed 60 months.

D PROJECTS

❑ Look at the Termination Date.
  ☞ If past or close to the Termination Date, check with the Research Leader
    to see what the 'plan' is for the project.
      Replacing, Extending or Bridging are some of the options.
  ☞ If you replace or bridge, do the Permanent Fund Transfer to the new
    project from the old project.

T,R,S,C,G SIBLING PROJECTS

❑ Look at the Project Number.
❑ Does it need to be renumbered?
  ☞ Renumber the AD-416.
❑ Check Inhouse Project Numbers.
  ☞ Update Inhouse Project Number and Research Codes on 425s.
  ☞ Update Inhouse Project Number on 550As.
❑ Check any S project.
❑ Funded by a T?
  ☞ If so, renumber T first, as S uses T number as the Inhouse Project
    Number on the 550A.
❑ Look at the Termination Date.
  ☞ If it needs to be extended, check with the scientist and work with the
    scientist to get the project extended.
  ☞ If it's not going to be extended, terminate it yourself or at least be
    prepared to terminate it through the AD-421 Annual Research Progress
    Report process.
❑ Look at the Investigator.
❑ Is the Investigator still assigned to this project?
  ☞ Update Investigator and SY times as needed.
❑ Look at the Special Codes.
❑ Is there a BRCOM code listed?
  ☞ If so, the Biosafety Info in the Approach should be current or updated.
  ☞ Find and work with your Committee.

If a sibling action involving $$ is done in ARIS and forwarded to Area Level,
please have documentation paperwork sent to the Area, following your Location
standard operating procedures, as soon as you can.

If the Extramural Agreements Specialist gets the paperwork, it's shared with
the Program Analyst; if the Program Analyst gets the paperwork, it's shared
with the Extramural Agreements Specialist.

The ARIS action will remain at the Area Level until the paperwork is received,
either by Extramural Agreements Specialist or Program Analyst.

425s

❑ Look at the status.
  ☞ If it's Pending, check with the scientist on status and update the 425
    in ARIS with the info given you to either fund, award or unfund.
    Pending status is all right as long as the scientist has confirmed the
    status.
❑ On both Pending and Active, look at the End Date.
❑ Is the End Date past or close?
  ☞ Check with the scientist on status and update the 425 in ARIS with the
    info given you to either terminate, extend or unfund.
❑ Look at the Inhouse Project Numbers.
  ☞ Update Inhouse Project Number and Research Codes on 425s as needed.
❑ Look at the Contact.

❑ Is the Contact name still correct?
     ☞ Update the 425 in ARIS as needed.

NOTE: New or 425s involving $$ will sit at Area Level until paperwork is received, either by Extramural Agreements Specialist or Program Analyst.

Renumbering Sibling Projects

❑ Renumbering a sibling project must be done when the original Inhouse project has been replaced with a new AD-416/417.

❑ Sibling projects include Trusts (T), Reimbursables (R), Specific Cooperative Agreements (S), Contracts (C), and Grants (G).

❑ Renumbering a sibling project requires the following steps:
     ☞ Find Next Available Project Number - R, T, S, C, G
     ☞ Create a Work Record from Active 416/417 Records
     ☞ Modify 416/417 and the 550 or 425 in the Work file.
     ☞ Remarks section of 416 must have reason for the current action
        (Renumbered from 1235-52000-001-01T to agree with new Inhouse project.)
❑ If the project is a Reimbursable (R) or Trust (T), the 425 must also be modified.
     ☞ 425
     ☞ Research Perf Org/Inhouse
     ☞ Research Codes (verified and/or modified)
     ☞ Select Inhouse SOI & STP Codes
❑ If the project is a Specific Cooperative Agreement (S) or Grant (G), the 550 must also be modified.
     ☞ 550 data
     ☞ Related Inhouse Project No. **NOTE:** This should be the associated **Inhouse** project number. The budget page is separate from this entry and could possibly have a different project number than the associated Inhouse project number.

Remarks

REMEMBER that when a Work Record is created, the REMARKS SECTION IS ERASED.

❑ Use Special Classification Code BARD 100% for Bard Projects
❑ Use Special Classification Code CRG 100% for CSREES Competitive Grants
❑ Use Special Classification Code CRADA 100% for CRADAS's
❑ IF BRCOM coding is added, the certification line must be added to the
   Approach section of the AD-416
❑ BPMS codes can only be added by HQS
❑ All inhouse projects, D, R and T types, are to have the Farm Bill Special
   Classification Code(s) and a Sustainable Agriculture Special Classification
   Code on the AD-417.

Farm Bill Coding

FBP1	Continue to satisfy human food and fiber needs.
FBP2	Enhance the long-term viability and competitiveness of food production and agricultural system of the United States within the global economy.
FPB3	Expand economic opportunities in rural America and enhance the quality of life for farmers, rural citizens and society as a whole.
FBP4	Improve the productivity of the American agricultural system and develop new agricultural crops and new uses for agricultural commodities.
FBP5	Develop information and systems to enhance the environment and the natural resource base upon which a sustainable agricultural economy depends.
FBP6	Enhance human health by fostering the availability and affordability of a safe, wholesome, and nutritious food supply that meets the needs and preferences of the consumer;-and by assisting farmers and other rural residents in the detection and prevention of health and safety concerns.

❑ The assigned percentage must equal 100% for each project.
❑ If multiple codes are assigned to the project, the assigned percentage
   cannot exceed 100%, with a minimum of 10% for a single code.

FARM BILL CODES from ARIS

```
FBP        FBP        FARM BILL PURPOSES
FBP1       FBP        HUMAN FOOD & FIBER NEEDS
FBP2       FBP        FOOD PRODUCTION & AGR SYS
FBP3       FBP        ECONOMIC OPPORTUNITIES
FBP4       FBP        NEW AGR CROPS & NEW USES
FBP5       FBP        ENVIRON & NATURL RESOURCE
FBP6       FBP        ENHANCE HUMAN HEALTH
```

Sustainable Agriculture Coding

- ❏ Use SA-X for the coding, derived from a protocol that uses seven criteria.
- ❏ Each project is to be rated on each of the seven criteria.
- ❏ In each case, the question to be answered is whether a project contributes to sustainability according to the criteria at hand (+), is neutral (0), or even detracts (-1).
- ❏ Adding the seven scores makes possible final scores from -7 to +7.
- ❏ Those projects scoring +2 or better are judged to contribute significantly.
- ❏ Those scoring +4 or better are judged to be wholly dedicated to furthering sustainable agriculture.
- ❏ Worksheet is found at end of Supplemental Manual.

1. Integrated System Of Plant And Animal Production Practices

Research dealing with whole-farm systems. The research should include the influence of non-controllable variables, farm enterprise managers, external inputs, management of the atmospheric, aquatic, energy, soil and organic resources of the ecosystem in relation to food, feed or fiber production. In general, the research should use a holistic and interdisciplinary approach. The objective should be to sustain the economic viability of the specific farming enterprise type while making effective use of natural resources in an environmentally sound manner, and to use appropriate natural biological cycles and controls to minimize dependency on external inputs.

2. Satisfy Human Food And Fiber Needs

Research designed to contribute to the long-term goal of producing an adequate amount of safe and nutritious food and of fiber in an economically viable, environmentally sound and sociologically acceptable manner. In general, the research should focus on technologies and practices that reduce dependence of crop and livestock agriculture on external inputs such as fuel, irrigation, water, fertilizers and pesticides.

3. Enchance Environmental Quality

Research designed to enhance environmental quality through the development of practices that minimize the degradation of soil, water, air or organic resources from chemicals, erosion or waste products, or restores them. The research may deal with concerns of both off-site and on-site impacts of agricultural practices. This may be accomplished through efficient utilization of nutrients and practices that prevent leaching, control erosion or recycle wastes safely and beneficially through application to agricultural land.

4. Natural Resource Conservation and Enhancement

Research that promotes the development of technologies and practices that conserve soil, water, energy and organic resources. Natural resource conservation research in agriculture usually deals with processes designed to make more efficient use of natural resources or to control the degradation of these resources. Control of erosion, nutrient runoff and organic matter depletion are examples of types of natural resource conservation that can be achieved through the development of procedures such as reduced tillage,

covercrop and crop rotation systems. Providing adequate levels of
micronutrients from industrial wastes or other sources is another example of
natural resource conservation.

5. Biological Resource Utilization

Research leading to the development of technologies and practices that promote
the use of beneficial biological systems and processes to maintain and improve
soil quality, protect crops and reduce the need for external inputs. Examples
include biological pest controls, biological nitrogen fixation, recycling of
organic wastes and residues, composting of rural, suburban and urban wastes
and increasing populations of beneficial insects, nematodes, earthworms and
microflora. Crops may also be selected or genetically altered for
characteristics that improve soil physical properties, drought tolerance, pest
and disease resistance, and production of organic residues which protect soils
from erosion and ground water from contamination.

6. Economic Viability

Research designed to develop practices and systems that minimize risk and
enhance the economic viability of farn operations, with emphasis on the family
farm. The research should focus on long-term sustainability, but cannot
ignore the need for short-term economic survival. The impact of local, state
or national farm policy should be included. To avoid continued overloading and
depression of prices in the food and fiber markets, avenues should be
developed to alter farm products in alternative markets such as energy, paper
and building materials; development of new products is an example of
contributing to economic viability and may also support quality of life.

7. Quality of Life

Research that promotes the development of farming systems designed to enhance
the quality of life for farmers, members of rural communities and society as a
whole. The research should result in improved health, safety, and stability
in the rural community; it should contribute to increased on-farm and local
employment through emphasis on local added value opportunities and on reducing
dependence on purchased inputs by substituting managerial increases of on-farm
and local employment through emphasis on local value added opportunities and
and on reducing dependence on purchased inputs by substituting managerial
skills and local resources.

BRCOM Coding

Due to security issues, changes are being made to exclude previously cited information for any projects doing biosafety research.

❑ It is the responsibility of the Management Unit to provide the Institutional Biosafety Committee (IBC) with a project summary so that the Committee can complete the certification, recertification, or exemption, unless you have other procedures in place at your location.

❑ If this information is not available during entry of the project into ARIS, the project should be amended as soon as the principal investigator receives approval from IBC.

❑ BRCOM is the Special Classification code used on the AD-417 when a project requires a Biosafety Level and review by the IBC.

❑ If you have a BRCOM code, you must have BT code(s). The BRCOM PERCENTAGE should NOT BE GREATER than the total BT percentages on the AD-417.

❑ If your project(s) is coded BRCOM, the last sentence of the Approach Statement on the AD-416 should record the date of approval and the Biosafety Level assigned to the project by the IBC.

☞ Type in the 416 REMARKS Section, **"IBC information updated."**

☞ Presentation of the required information should be in the following format:

☞ For new projects being certified: **BSL-1; Certified** February 25, 2001

☞ For recertifying projects: **BSL-1; Recertified** February 25, 2001

• For BL-Exempt projects: **BSL-Exempt; Recertified** February 25, 2001

NOTE: Do not include city, state, laboratory name, room number or names of scientists.

❑ **BRCOM coded projects MUST BE recertified ANNUALLY.**

❑ Some locations receive Biosafety Level certification which covers a period of more than one year. In those instances, the Biosafety Level would be recertified at the end of that period of time.

❑ If the project is EXEMPT at the time it is being recertified, the BRCOM code remains on the 417; DO NOT remove it.

❑ When the project has been recertified, it must show "recertified mm/dd/yy".

Biotechnology Research Projects

Background: Biotechnology is defined as the use of living organisms, cells, subcellular organelles, and/or parts of those structures, as well as the molecules, to effect chemical or physical changes needed to generate new products for research and commercialization. Specifically, biotechnology is the use of genetically engineered recombinant nucleic acid molecules to effect desired changes in biological materials.

It is the policy of ARS to explore applications of biotechnology methods that have potential to solve priority problems of national scope. ARS will use vigilance in investigating new applications of biotechnology to ensure the protection of both public health and the environment. All biotechnology research will be carried out in accordance with applicable Federal regulations and research guidelines.

Research Guidelines: It is the responsibility of each ARS scientist to comply with the National Institutes of Health (NIH) Guidelines for Research Involving Recombinant DNA Molecules. This shall include submission of the research protocol to the IBC for review and determination. A risk assessment of the proposed research must be made, and an assignment of one of four Biosafety Levels (BSL-1 through 4; BSL-4 being the most stringent containment condition). The risk assessment is initially made by the principal investigator and must receive concurrence from both appropriate NPL and the IBC. The four Biosafety Levels reflect a combination of: Laboratory practices and techniques, safety equipment, laboratory facilities appropriate for the operations performed and the hazard posed by agents, and for the laboratory functions and activities.

NOTE:
RESEARCH CANNOT BE INITIATED UNTIL FINAL APPROVAL FROM THE IBC HAS BEEN RECEIVED. FURTHERMORE, THE SCIENTIST MUST ANNUALLY SUBMIT A REPORT/ REQUEST TO THE LOCAL IBC FOR REVIEW, RECERTIFICATION AND APPROVAL OF THE BIOTECHNOLOGY RESEARCH.

Fund Transfers
Supplement to ARIS On-Line Manual
Chapter 4B

❏ NEXT FY Fund Transfers may be entered in ARIS approximately mid-May of each year.

❏ Permanent Fund Transfers to be included in the NEXT FY ARMPs final Allocation will be accepted at Area Level until approximately mid-July of each year (This assures the accuracy of the final Allocation done by BPMS the first week of August.).

    ☞ Replacement or bridging projects
    ☞ Transfer of funds from one Area project to another Area project
    ☞ Temporary postdoc Fund Transfers

❑ Update all D projects and siblings (R,T,S,G or C) whenever there is a change in investigator(s) and/or SY time assigned to a project.

❑ **For instance**: after submission of your final ARMP; project replacement; hire/retirement of SYs, etc.

❑ In addition, each year in September or October, SY time should be reviewed and modified to match Management Unit ARMP.

Note: ARS scientists cannot have time on siblings -- only D projects.

There are three parts to this process:

1. Select and print active projects from ARIS.

2. Verify investigators and SY time.

3. If changes are needed, create a work record from the Active files and make the necessary modifications in the Work File.

GUIDELINES:

❑ Investigator Name on D type projects:
   -- ONLY list Category 1 and 4 SYs and their associated time; no Category 2 (Research Associate/Post-doc).
   -- ONLY the word VACANT is acceptable for a non-encumbered position.
   -- DO NOT use TBD, Vacancy, (Vacancy), vice xxxxx.
   -- VACANT can be used as the first or any other investigator name. DELETE any that are listed in error.

❑ SY-Time:
   -- SY time per scientist can be no greater than 1.00 (total on all D projects).
   -- If you add/modify the scientist Investigator or SY time on a project, modify any other project on which the scientist has Investigator or SY time so the SY time remains at 1.00 total for the scientist.

❑ ARMP Package:
   -- Investigator or SY times should match the ARMP and can be as low as 0.05.

❑ 0500 Projects:
   -- Generally, SY time is not shown on 0500 projects since the scientist's salary is being paid from the D project, but the name is shown with 0.0 Investigator or SY time. However, in some cases, SY time can be shown on the 0500, but must be reduced on other projects, so that the total does not exceed 1.00.

❑ SY-Time and Investigator Name on R, T, S, G or C sibling projects:
   -- SY time of Category 1 and 4 scientists MUST BE 0.00.
   (They are already accounted for 1.00 time on D project(s)). All other names (University PI on S, G) MUST BE 0.00 time.

Verify Investigators & SY Time with CRAS from Approved Current FY ARMP

❑ The CRAS (CRIS Resource Allocation Schedule) is the portion of the ARMP package that details each project within the Management Unit and lists scientific personnel and their time (FTE) assigned to a project(s).

❑ Once the final ARMP has been submitted, verify that the data in the ARMP matches the 416 record in ARIS.

❑ Use upper section only of CRAS since these are the SYs (scientific professionals -- Category 1 and 4 scientists).

❑ DO NOT include Research Associates (Category 2) in the investigators and SY total.

❑ For sibling projects (R,T,S,G or C), a separate CRAS should be attached to the ARMP.

❑ The scientist will be listed, but no time (FTE) will be assigned, and no SY time should be listed on sibling projects in ARIS.

If either Investigator or SY time fields on the 416 do not match the CRAS, update the project in ARIS.

Helpful Hints:

To add VACANT SY positions on the 416, search for Vacant.

If you have an SY who was recently hired as a Category 1 or 4 scientist, the individual's name may not show up in the 416/417 Personnel File when you want to add them as an ARS Investigator(s) on the 416. You may have to wait 4-6 weeks from an individual's EOD date to allow sufficient time for the action to be reflected in the database.

Each year, the ARS Administrator funds 50 post-doc proposals for a two year period through the ARS Administrator Funded Research Associate Program.

Proposal Information

❏ Proposals submitted by a single ARS permanent scientist (Category 1 or 4), who serves as the mentor and supervisor of the Research Associate.
❏ Proposals with a Category 2 scientist as the supervisor cannot be submitted.
❏ Proposals cannot be submitted by a scientist on a PIP or by a temporary Scientist.
❏ Only ONE proposal can be submitted by a scientist.
❏ Proposals should outline research that can be accomplished in 2 years and is directly relevant to the CRIS project under which it is submitted.
❏ Proposals that identify specific achievable objectives will receive more favorable consideration than those that simply speed progress towards long-term goals.
❏ Every research project in ARS is part of either one or two National Programs; the postdoc proposal must identify a single National Program under which it is to be considered.
  ☞ The identified National Program must be one associated with the base project. If the In-house project is associated with two National Programs, either the primary or the secondary National Program can be identified.
  ☞ In the text, the proposal should also specify which National Program objective(s) will be advanced by the proposed research.

Evaluation Process

❏ Each proposal will be evaluated independently by the Area Director and the National Program Leadership Team for the identified National Program.
❏ Evaluation criteria will include scientific excellence, relevance to National Program objectives, and capacity to perform and manage the proposed work.
❏ The two scores will be combined to determine which proposals are funded.
❏ One proposal will be recognized as the single best proposal overall, and the Research Associate will be designated as the T.W. Edminster Research Associate.
❏ The funded proposals, and the T.W. Edminster winner, will be announced at the Administrator's Council meeting each year in September.

Headquarters Funding

❏ The awarded proposals are funded for a two-year period at $40,000 per year.
❏ If a Minority Outreach candidate is hired, the post-doc is funded for a two-year period at $50,000 per year. Minority Outreach for the purposes of the post-doc program are designated as the following: Black, Hispanic, and American/Alaskan Native.
❏ The T.W. Edminster Awardee receives $50,000 per year for a two year period.

Post-doc Program Schedule

❏ Schedule will be sent out mid-June

Preparation of Proposals (ARIS)

❏ Proposals will be prepared offline in word processing software. "How to" instructions will be sent out in mid-June on how to prepare.

❏ The Areas will follow the schedule determined by the National Program Staff, but each Area may have different deadlines to receive the proposals to their Area Office.

   ☞ Proposals should be submitted according to the individual Area's schedules.

❏ The Post-doc system will be closed each year, usually around the end of July (refer to the post-doc schedule for the respective year).

   ☞ Once the system is closed, no proposals can be entered and the ranking process will begin.

Post-doc Fund Transfer

❏ Once a post-doc is hired for the awarded post-doc position, the Management Unit is responsible for requesting the funding each year.

❏ The funding project for post-doc funding will always be **0101-88888-016-00D.**

❏ When requesting funding, the following information must be included in the remarks section of the 416 submission: name of mentor, name of post-doc, EOD, Class of FY-XX, minority outreach information (yes or no), requested dollar amount, and remaining balance available after requested amount is deducted.

NOTE: Maximum allowable per year is $40,000 or $50,000 if a minority outreach candidate is hired. T.W. Edminster Awardee also can receive a maximum of $50,000 per year. If the person is a minority outreach recruit OR the T.W. Edminister Awardee, add this information to the Remarks section.

❏ The postdoc funding works by FISCAL Year; therefore, the maximum funds received in one Fiscal Year is $40,000.

❏ RL and LAO determine the amount to be released.

   ☞ (Example: If a postdoc enters on duty (EOD) in July, transfer only a portion for this FY, and then do two more transfers for the next 2 FYs.)

❏ The postdoc must be physically on board in ARS before submitting the temporary fund transfer request from the Headquarters project. Example: The postdoc began work on 6/1/01; therefore, on 6/2/01 you can submit the request for funds via an ARIS action.

Remarks for Request of Full Amount:

   $40,000 FY-XX TEMPORARY fund transfer for Administrator funded postdoc position, Samuel M. Davis, Class of XX (EOD 06/01/01). $0 remaining balance. Mentor is James E. Smith.

   or

Remarks for Request of Partial Amount:

   $35,000 FY-XX TEMPORARY fund transfer for Administrator funded postdoc position, Michael M. Doe, Class of XX (EOD 06/01/01). $5,000 remaining balance to be FY-XX request. Mentor is James E. Smith.

❏ If you have a postdoc entering on duty in mid-late July, it is permissible to complete the next FY temporary fund transfer action FIRST, to be included in the final Allocation dollars (postdoc must be physically on

board), and then complete the current FY temporary fund transfer action to recoup the expended salary funds.

Area Program Analyst will submit action in RMIS to NPS. The request will be signed by the Assistant Deputy Administrator and forwarded to BPMS for the release of funds.

MUs may monitor action through ARIS (NPS Review and Work Status) to be informed when fund transfer is officially approved.

Other Information

❏ Post-doc positions are awarded to an individual scientist within a management unit, not the management unit in general.
❏ If a scientist who receives a post-doc award leaves the unit and/or Agency before a post-doc is hired, the position and funding are lost/forfeited.
   ☞ If a post-doc is already hired, another mentor is assigned to supervise the post-doc.
❏ If a post-doc leaves the position or is converted to a different permanent position in the Agency within the 2-year appointment period, the remaining funding is forfeited.
   ☞ All unused funds for that fiscal year must be returned to Headquarters. Contact your Area Program Analyst in order to complete this action.

March 20, 2002

SUBJECT: ARS-425 "Authorization to Apply For and Use Funds From Outside Sources"

   TO: Center Directors/Research Leaders
          Location Administrative Officers

   FROM: Adrianna D. Hewings
            Director

I am forwarding two memos from Dr. Dwayne Buxton, Deputy Administrator, NPS. Dr. Buxton reiterates ARS's policy regarding ARS-425 "Authorization to Apply For and Use Funds From Outside Sources". Please distribute these two memos with the following MWA Policy to all scientists in your Management Unit (MU).

Effective immediately MWA scientists must adhere to the following procedures in applying for outside sources of funds:
1)   The ARS-425 must be in ARIS in the Active Database before I will sign forms as Authorized Organizational Representative (AOR).
2)   The research outlined in the proposal should:
      a)   Support the mission of ARS;
      b)   Be of mutual interest to ARS and the outside source of funds;
      c)   Supplement without detracting from the programs of the scientist and MU performing the work;
      d)   Be related to the expertise and assignment of the individual(s) performing the work.
3)   The ARS-425 must be in ARIS in the Active Database before the proposal is submitted to an outside source even if it does not require Area Director signature as AOR.

Please ensure that your MU follows the above procedures and initiates ARS-425s at the beginning of the proposal writing process. The ARS-425, Proposal Cover Sheet, Project Summary, Budget and any forms requiring the AOR signature must be sent to Marilyn Paul, MWA Program Analyst, in order for us to adequately evaluate the ARS-425. Once I have reviewed and approved the ARS-425, Marilyn will forward it to NPS. As indicated in the attached memos, NPS will complete evaluation of the ARS-425 within three working days. When their evaluation is complete and the ARS-425 is in the Active Database, Marilyn Paul will obtain my signature as AOR and FedEx the package back to the MU within two working days. A copy of the final proposal should then be sent to Marilyn Paul at the time the proposal is submitted to the outside source of funding.

This new procedure will require preplanning on the part of our scientists. However, if we all work together appropriate approvals can be obtained and the funding sources' deadlines met. If you have any questions, please give me a call.

March 5, 2002

SUBJECT: Followup to ARS-425 Memo

      TO: Area Directors

   FROM: Dwayne R. Buxton /s/
                  Deputy Administrator

As a followup to my memo dated February 15, 2002, I am providing further guidance and information regarding the processing of form ARS-425, "Authorization to Apply For and Use Funds from Outside Sources."

As previously stated, the ARS-425 must be approved prior to submitting a proposal to outside sources for funding. The ARS-425 should be initiated near the beginning of the grant proposal writing process, not at the end. Scientists should not wait until the proposal is complete to submit ARS-425. The ARS-425 requires a minimal amount of information that needs to be entered and should be known to scientists at the beginning of the proposal writing process.

From the National Program Staff (NPS) standpoint, we are changing our approval process to eliminate any untimely delays.   NPS will initiate a new approval process that will allow us to complete our evaluation of ARS-425s within three working days. This new process should eliminate concerns that scientists may have about not receiving timely decisions which could prevent them from submitting their proposals to the funding organizations by the designated deadlines.

cc:
E. Kniplng, OA
C. Rexroad, Jr., OA
Associate Deputy Administrators, NPS
J. Stetka, NPS

National Program Staff
5601 Sunnyside Avenue, George Washington Carver Center, Room 4-2150
Beltsville, Maryland 20705-5134

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February 15, 2002

SUBJECT: ARS-425 "Authorization to Apply For and Use Funds From Outside Sources"

   TO: Area Directors

   FROM: Dwayne R. Buxton /s/
            Deputy Administrator

In 1995, the Policies and Procedures (P&P) 321.1 on "Acceptance of Non-Appropriated Funds to Conduct Research or Perform Services" was revised in order to streamline the paperwork and approval process and to enable funding to be received in a timely and efficient manner.

In accordance with P&P 321.1, the Form ARS-425 "Authorization to Apply For and Use Funds From Outside Sources" is to be fully approved before a proposal can be submitted to a potential source of outside funds. In addition, the research should support the mission of ARS, should be of mutual interest to ARS and the outside source of funds, should supplement without detracting from the programs of the scientist and the unit performing the work, and should be related to the expertise and assignment of the individual(s) performing the work.

Over the years since the streamlining process, the approval process has become somewhat relaxed. Therefore, we are re-emphasizing that the ARS-425 must be entered in RMIS/ARIS and fully approved through the Area Director if under $25,000 and, if over $25,000, through the National Program Staff <u>before</u> any proposal is submitted to an outside source of funding.

If there are any questions or concerns, please let me know.

cc:
E. Kniplng, OA
C. Rexroad, Jr., OA
J. Stetka, NPS
Associate Deputy Administrators, NPS

From: Edward Knipling
To: Administrators-Council
Date: Friday, April 20, 2001 8:54:46 AM
Subject: ARS Participation in the IFAFS Grant Proposals

April 20, 2001

SUBJECT: ARS Participation in the Initiative for Future Agriculture and
          Food Systems (IFAFS) Grant Proposals

   TO: Administrator's Council

 FROM: Edward B. Knipling /s/
        Associate Administrator

I have received several inquires from Area Directors on how ARS scientists
should represent and affiliate themselves when applying for IFAFS grants
through a university or other collaborating institution. Upon checking with
Dr. Rodney Foil of the CSREES-IFAFS Program and with Curtis Wilburn of the ARS
Extramural Agreements Division, I offer the following guidance.

As you know IFAFS grants cannot be awarded directly to ARS, but a portion of
the funds can be sub-allocated to ARS from the awardee institutions.

An ARS scientist can thus be identified as a co-principal investigator or
collaborator on a grant proposal, but the grant award would be made entirely
to the university in the name of the university representative, i.e., the
principal investigator or co-investigator. Sub-awards to ARS via Trust Fund
or Reimbursable Cooperative Agreements would then be made in accordance with
standard procedures and policies as defined by and negotiated between the
university and ARS.

An ARS scientist who has an adjunct faculty appoint could apply for a IFAFS
grant as Principal Investigator in the name of the university, if the
university authorizes that Principal Investigator by virtue of the adjunct
appointment to expend university funds and control activities for which the
university is accountable. Thus, this situation would be guided by university
policy, not by IFAFS or ARS policy.

cc:
C. Wilburn, EAD

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MWA POLICY
FOR WAIVER REQUESTS
ARS-425 AUTHORIZATION TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES
"SOFT FUNDS"

Policies and Procedures 321.1, Acceptance of Non-appropriated Funds to Conduct Research or Perform Services (dated 7-6-95), addresses applying for outside funds; 329.5, Assessment of Indirect Program Support Costs (IPSC) and Indirect Research Costs (IRC) (dated 8-12-94), for information on applying for waivers of indirect research costs; and to Bulletin 98-306, Indirect Program Support Costs Policy (dated 10-01-98). These three documents will provide all the information needed to apply for a outside funds and abide by Agency and Area policies in a simple, timely way.

It is important to remember that the ARS-425 must be electronically entered into ARIS to obtain Area Director and NPS approval and reside in the ARIS Active database PRIOR to submitting the proposal to the outside funding source. The ARS-425 is required of all ARS scientists who are Principal Investigators (PI's) and all ARS scientists who are co-PI's submitting proposals with non-ARS collaborators. Submitting the ARS-425 as soon as the preliminary budget and project summary for the proposal are developed will create no impediment to completing the proposal by the submission date. The full proposal can be written during the approval process, which will take approximately a week. Most procedural questions can be answered by the Management Unit secretary or the Location Administrative Officer and, if a unique situation arises, staff in the Area Budget & Fiscal Office are happy to provide guidance.

When a proposal is funded, one of the more difficult issues is determining who will administer the funds. Unless there is a compelling reason to the contrary described in a written justification and approved prior to submission, all incoming funds from outside sources on which an ARS scientist is the PI (first in the list of authors) should be administered by ARS; funds from outside sources on which an ARS scientist is the co-PI are administered by the PI's employing institution. The perceived difficulties of too much paperwork, hiring, grade and nationality of prospective postdocs, waivers of indirect costs, obligations to cooperators and the like, can be dealt with if the Management Unit Secretary and Location Administrative Officer are brought into the loop early in the process of preparing a proposal. When problems and awkward situations arise, it is nearly always a result of poor communication or failing to meet recommended timetables, i.e. the ARS-425 is put into ARIS after the proposal has been submitted or worse, after it has been funded.

The exception to the policy of "all incoming funds from outside sources on which an ARS scientist is the PI (first in the list of authors) should be administered by ARS" is the National Science Foundation (NSF). ARS has a Memorandum of Understanding with NSF whereby an ARS scientist may be the PI, and funds are administered by the institution, NSF. In these cases, no waiver from the Area Director is required. To date, this is the only exception.

- Electronic submission of the ARS-425 to obtain Area Director and NPS approvals is the essential FIRST step in the application process. The ARS-425 is required if the ARS scientist is Primary Investigator (PI), Co-PI or Secondary Investigator on the proposal.
- When the budget and project summary is developed, complete the ARS-425 in ARIS.
- Submit the 425 electronically in ARIS at the same time the Cover Sheet, Project Summary and Budget Sheets are mailed to the Area. The ARS-425 will be sent electronically via ARIS for Area and NPS approvals. The ARS-425 must be in the ARIS Active database before submission of the proposal to the funding source.
- Preparation of the remainder of the proposal can then proceed during the approval process if the particular deadline is close.
- Submit proposal through the Area (either to Area Office or the Budget and Fiscal Office) so an Area Director can sign the application as Authorized Organizational Representative.
- The ARS scientist is PI and ARS affiliation is shown throughout the proposal to the funding source, unless a waiver is sought and approved by an Area Director.
    - o Category II scientist may not be listed as PI on proposal for funds from outside sources.
    - o Category II scientist may be a Co-PI or Secondary Investigator with the Research Leader as PI.
- The scientist must sign the necessary forms before submitting to the Area Office.

REMINDER: Agency overhead must be included if the dollars are to come directly to ARS (11.11% of net dollars).

FORM	SIGNATURES REQUIRED
CSREES-661 Application for Funding	Scientist and Area Director
CSREES-1232 Project Summary	None (Scientists names must be typed on the Project Summary form)
CSREES-55 Budget	None (Budget is signed when funded)
CSREES-62 Assurance Statement	Area Director
CSREES-663 Current and Pending Support	None
CSREES-1234 NEPA - National Environmental Policy Act Exclusion Form	None (Scientists name must be typed on the form)

- A detailed budget for each year of requested support and a summary budget for the overall project period must be included.
- Funds that will be used in an RSA (Research Support Agreement) must have a separate detailed budget.
- RSA total is identified and entered on the line All Other Direct Costs of the overall total budget, e.g., RSA (Research Support Agreement) $53,281.
- Personnel providing services through an RSA may not have a Ph.D.
- The above requirements apply for funds that will be used in a SCA (Specific Cooperative Agreement).

Send a copy of the final proposal, either to Area Office or the Budget and Fiscal Office, at the same time the required copies are sent to the funding source.

ARS-425 ONLY - NEVER REQUIRES AN AD-421 Annual Research Progress Report

An ARS425 is a three-step process.

First in the process: Proposal
- A 425 is created in ARIS before the proposal for Funds from Outside Sources is sent to the funding source or granting institution.
- The created and approved 425 resides in the ARIS database with a STATUS of "pending."
- A hard copy of the proposal going to the funding source or granting institution is to be sent to the Area Program Analyst through your Location Administrative Officer.

Second in the process: Tracking and Updating
- Keep track of the proposal status.
- When you find out whether the proposal is awarded, funded, or unfunded, let your Location Administrative Officer know and update the 425 in ARIS.
- If funded to ARS for greater than $25,000, add the 416/417.
- If Unfunded, let your Location Administrative Officer know and update the 425 in ARIS.
- If Awarded, No Funds to ARS, let your Location Administrative Officer know and update the 425 in ARIS.

Third in the process: Terminating
- Keep track of the "awarded or funded" project so that you know when it is completed.
- When the project is completed, notify your Location Administrative Officer and terminate the 425 in ARIS.

Types

TRUST
FUNDS PROVIDED IN ADVANCE TO ARS
for work to be performed.

TRUST
FUNDS PROVIDED IN ADVANCE TO ARS
CRADA - Conduct cooperative technology
transfer activities (product).

REIMBURSABLE
FUNDS to ARS IN ARREARS
for ARS's costs incurred
under project.

REIMBURSABLE
FUNDS UP FRONT to ARS
for Agency to Agency agreements
e.g., FGIS to ARS, DOE to ARS

REIMBURSABLE
NO FUNDS to ARS
ARS scientist Co-PI
Funds administered by University

Result of MUTUAL cooperation between ARS and the funding source, agreement requires whereas clauses and a 3-part budget.

Result of funding awarded after research proposals meet funding source criteria, agreement does not require whereas clauses. Examples: NRI-CGP, Indiana Soybean Development Council, ISOPB, National Pork Board.

Again, if the Source of Funds is paying for the research 'up front' before the research is actually accomplished, the agreement is a Trust.
If the Source of Funds is 'invoiced' or makes payment for the research after it's accomplished, the agreement is a Reimbursable.

When funds are received from an outside source for TRAVEL ONLY, an ARS-425 is not needed. An AD-202, Travel Authorization, and an 'in-kind' acceptance letter are required.

SOURCE OF FUNDS

IF funds will be received by ARS, WHO is the SOURCE on the 'check'?
> If the 'check' will say "University of Minnesota", that is the SOURCE.
> If the 'check' will say "Consortium for Plant Biotechnology", that is the SOURCE.

IF no funds will be received by ARS, the SOURCE will be the organization that receives the funds. Or ask, from whom will the scientist have access to funds?

---

425 Helps

For No Funds to ARS 425

Purpose of Funds	4 = Research-NO FUNDS to ARS
Type of Agreement:	R Reimbursable
IPSC:	Leave blank
How are Funds to be Used?	ALL zero
Work to be Performed:	I Inhouse
Performing Org:	Leave blank

If you have funds going to RSA and SCA:
List RSA funds under the field "RSA"
List the SCA funds under the field "Other"
Work to be Performed: B (Both) Inhouse & Extramural

Outside funds coming into ARS can GO OUT ONLY through a Research Support Agreement or Specific Cooperative Agreement.

If CRADA, and incoming funds >$25,000:
Add 416/417 upfront when submitting action. MUST complete field: "Value of owned or Controlled ARS Buildings & Land Utilized," which is the cost of the use of building and/or land that is borne by each project. ARS can either ask the outside party to pay its fair share of those costs or ARS can consider those costs to be an in-kind contribution. In either case, those costs must

be considered in developing a budget.

- **First** - estimate the percentage of ARS owned or controlled buildings and/or land to be used when performing the research/service.

- **Second** - find the amount budgeted for land and structures (Object Class 3200 on the approved ARMP) on the project associated with the research/service.
- **Third** - multiply the amount budgeted for buildings and land by the estimated percentage. This is the result to be entered. This amount is not part of "How are Funds to be Used," and is not to be calculated in the "Total Proposed Amount."

If Trust or Reimbursable, and incoming funds > $25,000,
Submit 425 ONLY; when notified of awarded funds, ADD the 416/417 immediately.

To extend time or add funds to 425
Create a Work Record from the Active.
Modify fields in Work Record as needed to assure the ARS-425 matches the Agreement.
Add funds to fields in the How are Funds to be Used section.
Forward to Area Level.

Continuation of 425 when funds <25,000 or >25,000
Proposal submitted by scientist to funding source to receive more funds for **on-going** project must be documented with a new 425. This is the proposal stage. If funded, funds are then added to Active 425 of on-going project and Pending 425 is marked Unfunded.

Start Date and **Term Date**
Dates on executed agreement.

Award Date
Date on executed Agreement last signed by authorized official.

Agreement Number
Added at Area but required before record becomes Active.

IPSC

Reference Table can identify if IPSC is
(1) Never Waived;
(2) Always Waived, or
(3) Can Request Waiver

FORM NUMBER: 425 FIELD NAME: IPSC - Indirect Program Support Costs
INFORMATION: Data from the reference table to identify if IPSC is taken/waived automatically or if a request for waiver can be made to BPMS.

FORM NUMBER: 425 FIELD NAME: Requesting IPSC waiver
INFORMATION: Enter a Y=yes or N=no. If Y entered, enter why you are requesting waiver. BPMS will use this information to approve/disapprove the request. Be concise and explicit describing the reason.

WAIVER REQUESTS
If a request is made within the ARS-425 to waive IPSC, and the request meets the waiver criteria, the waiver will be approved.

If the waiver request does not meet the waiver criteria, the waiver request field in the ARS-425 is marked 'no' or denied.

Contact the Area Program Analyst if the waiver is re-requested with additional information.

Contact the Area Program Analyst if a waiver request is made for a source for which IPSC is Never Waived in ARIS.

Figuring Indirect Research Costs for Proposal Budget Sheets

11.11% net goes on Indirect Costs line
    To clarify:
    If total from Total Direct Costs Line is $200,000, multiply $200,000 times 11.11%.
        Result is $22,220 and goes on Indirect Costs line.
    Add together the $200,000 and the $22,220.
        Result is $222,220 and goes on Total Amount of Request line.

Documentation

Documentation should allow Extramural Agreements Specialist to process the agreement.

Documentation should allow Program Analyst to process the ARIS action. Program Analyst checks the ARIS action against the documentation, looks particularly at the budget sheets to see how the incoming funds will be spent, if any funds will go into a RSA, a SCA or will be used to hire an ARS employee.

Essential that the scientist knows and explains how the funds are to be used and correctly prepares the budget sheets and budget justification.

Amending Funds on ARS-425

How are Funds to be Used section. Print a copy of Active for record of dollar amounts in How are Funds to be Used section.

Example:
$25,000 was originally entered into Supplies, but in the funded proposal only $15,000 will be received for Supplies. So, calculate the amount to be subtracted from the Supplies field and enter that amount as a minus in the field.

Old Amount	New Amount	Minus Amount
$25,000	$15,000	-10,000

Funds Posted

Only funds posted are required to move a 425 Only from Pending to Active.

ABFO receives a check
       Creates work record for the 416/417 w/425 or 425
       Modifies fields
       Adds Fund Commitment
       Approves record and Fund Commitment

416/417/w425 or 425 is sent to NPS

Fund Commitment is sent to BPMS
       BPMS must collect and approve Fund Commitments before they go to the
       official file

Check Status – 425 Budget to look at any Fund Commitments to determine the status.

If status is BPMS approved, the next day the record will be in the official file.
The first time funds are posted, the action, adding Fund Commitment, goes to Area Level and the Area Program Analyst approves record.

Subsequent postings by the ABFO bypass Area Level and go directly to BPMS.

If ABFO makes additional changes, e.g., Term Date or to other predefined fields, these actions go to Area Level and the Area Program Analyst approves record.

TERMINATION PROCESS

BEFORE TERMINATING a T or R project (or 425) that has had money coming into the Agency under a Trust, Grant, CRADA, or Reimbursable agreement there are a few steps you can take that will save everyone a lot of headaches. NOTE: If a project is terminated before all money is posted to the 425 we either risk not being allowed to collect the money or a request has to go all the way to HQ to have the project reinstated.

STEP 1:

Is there a formal agreement in place where we are receiving money from the cooperator? If the answer to this question is **'*NO*'** you can stop here and terminate the project. If the answer is **'YES'** proceed to the next step.

STEP 2:

We need to determine if all the money has been received from the cooperator and posted to the 425 in ARIS. Following are the steps you can take to see if all the money has been posted in ARIS:

   a)   From a copy of the actual agreement determine the amount of money to be received. (Note: Please refer to the agreement and not the 425 for this amount as the 425 may not have been changed to match the agreement)

   b)   Once you know the agreement amount you can go into ARIS and check the 'Fund Commitment' to verify the funds have been posted.

   c)   If all the funds have been posted to the 425 you may proceed to terminate the project in ARIS. If all the funds have NOT been posted you should talk to your LAO to determine what needs to be done to collect any remaining dollars from the cooperator.

   d)   If additional funds need to be collected you will need to hold off on terminating the project until the funds are received and the ABFO updates the ARIS record. Once this is complete you can proceed to terminate the project.

If you need assistance on how to check ARIS for the posting of funds to the 425 please contact the Area Program Analyst.

ARS-425 AUTHORIZATION
TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES

FORM NUMBER: 425

Field Name	Information and/or Choice	MU Entry
Modecode/ Log Number	Defaulted by the users' modecode on insertion of a new 425. The log number is composed of the Mode Code followed by a sequential number assigned by the computer. The sequential number will never change and will be essentially a random number at the Management Unit level.	*no entry is needed here*
Contact	The name will be selected from a file of the "personnel" data within the Management Unit inputting the 425, obtained from NFC payroll file. The series and grade defaults from the selection.	*This will be the ARS scientist ...* Only Category 1 and 4 SYs can be listed as Contact for all research proposals. **Services Only** can have non-SY listed as Contact, i.e,. Location Administrative Officer.
Type	**P=Principal Investigator**: Responsible for the project **C=Co-Principal Investigator**: Shares responsibility with another, usually a non-ARS individual. **S=Secondary Investigator**: Has no responsibility for the completion of the project. Serves as an ad hoc advisor to the PI.	*ARS scientist will be?*
Telephone	Defaults to the Responsible Person's (RL) phone number from the "Mission Statement" file in ARIS.	*ARS scientist phone #?* Phone number should be modified to reflect the phone number for the Contact.

Purpose of funds	1=Research <=25,000: Total funding for the duration of the project will not exceed $25,000. Never requires an AD-416/417.	*Answer these to choose Purpose of Funds #*
NOTE: When research **<$25,000** total funding becomes **>$25,000**, the **Purpose of Funds** code will need to be changed to **2** and an AD-416/417 must be entered. The start date will default to the original start date of the **<$25,000**; if necessary, correct the start date on the 425 prior to attaching the 416/417.	**2=Research >25,000**: Total funding for the duration of the project will exceed $25,000. Always requires an AD-416/417 which must be entered in ARIS before research begins and funds are committed to the project. **3=Services Only**: Never requires an AD-416/417. Must identify type of service. Type of Agreement **R**. **4=Research-No Funds to ARS**: To be used when scientists cooperate with non-ARS scientists on projects of mutual interest and funds do not enter the ARS accounting systems. No AD-416/417 is required. Also used for NSF proposals. Type of Agreement **R**. **5=Gifts**: Use for "unrestricted" gifts. Never requires an AD-416/417. Type of Agreement **T**.	If funded, will ARS receive check for $$$? YES __ $$$_____ NO __ If YES & less than 25K, choose #1 If YES & more than 25K, choose #2 If YES & Services Only, choose # 3 If YES & Gifts, choose # 5 If NO FUNDS WILL BE RECEIVED BY ARS, choose # 4 *ARS scientist will be?*
Type of agreement	**R=Reimbursable**: ARS will bill the funding source as costs are obligated. Also use **R** with **Purpose of Funds** #4, RESEARCH-NO FUNDS TO ARS. **T=Trust**: ARS receives all funds at start of the project. **C=CRADA**: Funds are in support of a Cooperative Research and Development Agreement (CRADA).	*ARS scientist will be?*

If Service, Type of Services		Is the **Purpose of Funds** #3 - **Services Only**? If not, leave this blank.
If Service, Type of Services **NOTE**: To be used only with **Purpose of Funds** #3, **Services Only**.	**1=Sale of Assets**: sale of property i.e. animals, crops etc. **2=Quarters and Other Services**: housing and miscellaneous charges such as utilites available to employees on a reimbursable basis. **3=Space and Other Services**: reimbursement of costs associated with space occupied by other agencies in ARS facilities. Other services are utilities, hazardous waste clean-up, building and ground maintenance, etc. **4=Travel**: Receipt of funds from an outside organization for travel expense of an ARS employee. **In Kind** travel does not require the 425. **5=Administrative Services**: Miscellaneous administrative services such as personnel, conferences, copier usage, etc.	*Is the **Purpose of Funds** #3 - **Services Only**? If not, leave this blank.*

Remarks	Briefly summarizes reason for action.	*Use to state reason for action and communicate any additional information.* Examples: Proposal submitted to NRI-CGP, FY-95, $200,000. CRADA proposal submitted to United Agricultural Products, FY-96, no funds involved. AWARDED to UNIV OF IL from Illinois Soybean Program Operating Board, $200,000 for 3 yrs. NO FUNDS TO ARS. Move to Active Status. NO FUNDS to ARS. Funds, if awarded, to be administered by UNIV OF IL; proposal submitted to USB, FY-97, $10,000.
Source of funds / Type **Type**: indicates type of organization. System generated from Source table.	Selected from a table that identifies all sources from whom ARS has received funds.	If a source isn't shown in the table, send a message to the Area Program Analyst, who will see that necessary codes are established at NFC and entered into ARIS. *ARS scientist source?*
IPSC **IPSC** - Indirect Program Support Costs.	Data from the Source Table identifies if IPSC is taken/waived automatically or if a request for waiver can be made to BPMS. **N = Never waived; overhead will be taken.** **Y = Can request waiver.** **Blank = Exempt from overhead;** always waived as indicated in Source Table.	

Requesting IPSC waiver	**Y=yes** or **N=no**. .	To request waiver of IPSC, choose **Y=Requesting Waiver**. State reason & use P&P 329.5, Page 4(E) dated 8/12/94 and cite exact reference applicable. BPMS will use this information to approve/disapprove the request.
Financial Interest	**Y=yes or N=no**	If **Y** entered, give explanation. The Agency Ethics Office will use this information for their records.
Start/End Dates / Duration	Computer automatically calculates the duration.	Enter the proposed START and END dates. *ARS scientist dates?* When the proposal is funded, the dates MUST BE modified to reflect the ACTUAL Start and End date of the executed agreement. Once approved and in the Active File the Start date will become **non-modifiable** and will be the determining date for the 5-year duration.

How are Funds to be Used **NOTE**: If **Purpose of Funds** #4, RESEARCH-NO FUNDS TO ARS, leave these fields all ZERO (blank).	ARS FTE: Number of ARS FTE who will be paid salaries from **these** funds. **Cat 1 and 4 Salaries**: **ONLY APPLICABLE** to Baylor and Tufts University. **Is always ZERO for all other ARS locations.** **Supplies**: Used for supply costs. **Equipment**: Used for equipment costs. ***Other Federal Salaries**: Used for salaries of hired ARS employees, i.e., postdocs, technicians. **Travel**: Used for travel costs. ****RSA**: Used for RSA salary and any other RSA costs. RSA hire must be grad student; no PhD. *****OtherCosts**: Used for SCA salary and related costs, IPSC, publication costs, and other costs without a designated field. **Total Proposed Amount:** Calculated by the computer from individual field entries.	If ARS will be receiving $$$ and the ARS scientist is hiring someone who will receive an ARS paycheck, put in the number of ARS FTE. For instance, if $$$ will pay for 3 FTE over a 2-year period, the ARS FTE should be 3. DO NOT INCLUDE RSA FTE. **PERSONS WORKING WITHIN AN RSA ARE NOT ARS EMPLOYEES.** *ARS scientist funds distribution:* If ARS is receiving $$$, distribute in these categories: _____ Cat 1 and 4 Salaries _____ Supplies _____ Equipment _____ Other Federal Salaries* _____ Travel _____ RSA** _____ Other Costs***

Value of Owned/Controlled ARS Building/Land	This field **must be completed when the Type ofAgreement is C=CRADA.**	The cost of the use of building and/or land is a real cost that is borne by each CRIS. ARS can either ask the outside party to pay its fair share of those costs or ARS can consider those costs to be an in-kind contribution. In either case, those costs must be considered in developing a budget. **First** - estimate the percentage of ARS owned or controlled buildings and/or land to be used when performing the research/service. **Second** - find the amount budgeted for land and structures (Object Class 3200 on the approved ARMP) on the CRIS associated with the research/service. **Third** - multiply the amount budgeted for buildings and land by the estimated percentage. This is the result to be entered. This amount IS NOT part of **How are Funds to be Used**, and WILL NOT be calculated in the **Total Proposed Amount**.
Title of Proposal **NOTE**: **Services Only** will have no title.	This is a required field on all research projects, and will become non-modifiable on research projects over $25,000 after an AD-416/417 is entered.	*ARS scientist proposal title?* All modifications to the title must be made on the AD-416.
Work to be Completed	This field is required for all research agreements.	Describe the type of work to be performed. Use the **Objectives** from ARS scientist proposal for this field, i.e., Investigate ... Determine .... *ARS scientist proposal objectives?*

Work to be Performed **NOTE**: If $$$ to RSA or SCA, **Work to be Performed** must change from **Inhouse** to **Both** or **Extramural** depending on ARS scientist's involvement in project	**I=Inhouse**: All work will be performed inhouse by an ARS scientist. **E=Extramural**: All work will be performed extramurally by an outside organization (by means of an SCA or RSA or Contract). **B=Both**: Part of the work will be performed **inhouse** by an ARS scientist and part **extramurally** by an outside organization (using an SCA, RSA, or Contract).	Is ARS scientist giving $$$ to a RSA or SCA: NO __ I=Inhouse YES __ $$$_____ Either E=Extramural or B=Both *What will ARS scientist be doing? Will ARS scientist have others involved? How?*
Extramural Agreement Type **NOTE**: This field is required if **Work to be Performed** value is **E** or **B**.	**1=Specific Cooperative Agreement (SCA)** **2=Contract** **3=Grant** **4=General Cooperative Agreement** (Used only at Baylor) **5=Research Support Agreement (RSA)**	*If ARS scientist is giving funds out, how?*
Principal Performing Organization **NOTE**: This field is required if **Work to be Performed** value is **E** or **B**.	Name of **Principal Performing Organization**	This field MUST be selected from the Performing Organization table. If an organization is not shown in the table, contact the Area Program Analyst to establish one. If there is more than one Performing Organization, enter the one receiving the most $$$ and explain the other one receiving $$$ in the "Reason" field. *What organization is receiving $$$ from ARS scientist?*
Extramural Amount **NOTE**: This field is required if **Work to be Performed** value is **B** or **E**.	Amount of $$$ given to **Principal Performing Organization**	Enter the amount in whole dollars that will be given to the Principal Performing Organization. If multiple, add and enter total. Do not use other punctuation in whole dollars; computer automatically generates punctuation. *$$$_____*

Reason for Extramural Research **NOTE**: This field is required if "Work to be Performed" value is "E" or "B".	Describes the reason the work will have to be performed extramurally.	Match remarks to Extramural Agreement type. Examples: "Research Support Agreement for services, salary costs." "Specific Cooperative Agreement with Case Western Reserve University; Dr. Kung's lab has the expertise in construction of retroviruses for mutagenesis analysis. Project requires additional expertise in construction of retroviruses for ... not currently available in the MU or ARS."
In-house Project Title/Number	This field is required for research agreements, and is to be selected from the list of inhouse projects within the Management Unit.	Select the related inhouse project that the Contact person is listed on as an Investigator. The title of the inhouse project will default in from the selected project number. *Which project is ARS scientist listed on as Investigator?*
Research Related to In-house Project	This field is required for research agreements. **Y=Yes**: proposed research is directly related to the Contact's inhouse research. **N=No**: proposed research is not directly related to the Contact's inhouse research.	
If no, describe why funds should be solicited	This field is required if proposed research is not directly related to the Contact's inhouse project.	Describe why these funds should be solicited. *Funds are being solicited to ...*
Sub-Commodity and STP Codes	This field is required for research agreements, and is to be selected from the sub-commodities and strategic plan codes (STP) from the inhouse project.	**Select up to 2 STP codes** from the list. At least 1 code is required. **Select up to 4 sub-commodities** from the list. At least 1 sub-commodity is required.

Describe Deliverables	This is a required field for research agreements.	Describe the deliverables the Agency *(ARS scientist)* will provide the funding organization. Examples: "Production systems to manage crop pests." "Results of all physiological assays (immune and hormone) and behavioral observations of dairy cattle." "New germplasm line." For NRI-CGP, state "Progress reports and final financial status report." Use verbage from objectives in proposal to fill this in. *What will research of the ARS scientist accomplish? Impact?*
Research Require More FTE's **NOTE**: The data in this field "matches" the data from **How are Funds to be Used - ARS FTE**.	This is a required field for research agreements. **Y=Yes**: if yes, indicate the number of FTE's needed. (If yes, the Area Director will agree/disagree to provide the FTE's.) **N=No**: if no, leave **Number of FTE needed** blank.	If $$$ is in Other Federal Salaries, a FTE is required.

Research Support Agreements
Fact Sheet

ARS MAY ACQUIRE GOODS AND SERVICES FROM STATE COOPERATIVE INSTITUTIONS

ACQUISITIONS ARE ALLOWED FOR

- LAB TECHNICIANS AND AIDES
- SUPPORT PROFESSIONALS (NOT PERFORMING ORIGINAL RESEARCH)
- SEASONAL AND INTERMITTENT WORKERS
- GRADUATE AND UNDERGRADUATE STUDENTS
- PAYMENT OF TUITION REMISSION FOR GRADUATE STUDENTS
- SUPPLIES LESS THAN $1,000 FOR RESEARCH UNDER THE RSA
- FACILITIES MAINTENANCE AND SECURITY SERVICES
- TELEPHONE AND UTILITY USAGE SERVICES

ACQUISITIONS ARE NOT ALLOWED FOR

- SY'S IN EXCESS OF 90 CALENDAR DAYS IN A FISCAL YEAR
- POSTDOCTORAL SCIENTISTS/ RESEARCH AFFILIATES
- DIRECT SECRETARIAL / CLERICAL HELP
- VISITING OR FOREIGN SY'S
- REIMBURSEMENT OF TRAVEL FOR ARS EMPLOYEES
- EQUIPMENT PURCHASES

MIDWEST AREA POLICY

- THERE IS A 4-YEAR LIMITATION PER INDIVIDUAL ON ALL RSA APPOINTMENTS. THIS INCLUDES BOTH FULL AND PART-TIME EMPLOYEES
- NO RETIRED FEDERAL EMPLOYEES WILL BE HIRED BACK ON THE RSA
- ALL GRADUATE STUDENT APPOINTMENTS MUST BE APPROVED BY THE AREA DIRECTOR
- GRADUATE STUDENT 4-YEAR LIMITATION WILL CONSIST OF 2 YEARS FOR MASTER'S DEGREES AND 2 YEARS FOR THOSE PURSUING A PhD

Trust, Reimbursable

NEW	RENUMBER
416/417	**416/417**
❑ No award date	❑ Start & term dates
❑ Start & term dates	❑ Remarks
❑ Remarks	❑ Investigator on D
❑ Investigator on D	❑ Approach
❑ SY & I time 0.0	Biosafety
❑ Both names added	❑ Research Codes
❑ Objectives	BRCOM
❑ Approach	**425**
Biosafety	❑ Inhouse Project #
❑ Keywords	❑ SOI & STP codes
❑ Research Codes	
BRCOM	
425	
❑ Source of Funds	
❑ How are Funds to be Used	
FTE	
Federal Salaries	
RSA	
SCA	
❑ Inhouse Project #	
❑ SOI & STP codes	
❑ FTE	

On R & T projects, check to be sure that the ARS investigator listed is also on the in-house project.

ARS-425, COVER SHEET, BUDGET SUMMARY, BUDGET EXAMPLES
and
SUPPLEMENTAL INFORMATION

❑ Personnel hired by ARS **should** be in the <u>Salaries and Wages</u> section of the Budget sheet.

❑ Salaries and benefits for personnel hired through a RSA or SCA **should not** be in the <u>Salaries and Wages</u> section of the Budget sheets, but instead should be entered in the <u>All Other Direct Costs</u> section and have a separate Budget sheet as per Examples.

❑ Examples follow.

EXTRAMURAL AGREEMENTS
Specific, Contract or Grant (416/417/550A)
Supplement to ARIS On-Line Manual
Chapter 4D

Helps

❏ When making changes to an extramural agreement, adding funds, extending the agreement, changing investigators, etc., it is necessary to update both the agreement and the AD-416/417 and 550A.

❏ An SCA can be funded by D, R, or T projects and also by an ARS-425. If funded by a R, T or ARS-425, the SCA's Termination Date must not extend past the Termination Date of the R or T or End Date of the ARS-425.

❏ Remarks - Always state reason for the current action. Example: New SCA with University of Idaho for research on potatoes, $15,000. Dr. Jones - ADODR.

❏ Related In-house Project Number - Enter the related in-house project number, not the funding project (unless they are the same).

❏ Award Date, Agreement Number and funds posted are required to move project from Pending to Active Status.

❏ The executed Agreement is a binding document and the respective record in ARIS should be in agreement.

550A

Accounting Code

   ✓ IF D project is providing funds, use the current Management Unit accounting code. Example: The accounting code for a D project providing $50,000 FY 2002 funds would be 20136XXXXX.
   ✓ If more than one project provides funds, all accounting codes are to be shown.
      #   Two accounting codes will fit in the area provided on the 550A; enter extra accounting codes in the field STATEMENT OF WORK TO BE PERFORMED & REPORT/PUBLICATION REQUESTED BY ARS.

   ✓ If a T or R or ARS-425 provides funds, use the current FY accounting code **as long as** the funds have been received and been posted in ARIS by the Area Budget & Fiscal Office.
      #   Only funds that have been posted to the ARS-425 of the T or R or an ARS-425 can be disbursed.
      #   Start Date does not have to match the Start Date of the T or R funding project, but Termination Date is not to exceed the Termination Date of the T or R funding project or End Date of the ARS-425.

SBG Fee (same as SBIR)

✓ SBG fee is automatically calculated based on the dollar amount entered.
✓ This assessment will automatically be made by BPMS each time money is added to an extramural agreement.

✓ It will appear as a financial plan reduction to the Management Unit.
✓ Currently, 2.5% is taken from the funding project based on the giving amount. No SBG fee is taken from soft funding (Reimbursable or Trust funding) projects.

Specific Cooperative Agreement
Checklist

<u>**NEW**</u>   <u>**REVISION**</u>

<u>**416/417**</u>   <u>**416/417**</u>
❑ No award date   ❑ Start & term dates
❑ Start & term dates   ❑ Remarks
❑ Remarks   ❑ Investigator on D
❑ Investigator on D   ❑ Approach
❑ SY & I time 0.0   Biosafety
❑ Both names added   ❑ Research Codes
❑ Objectives   BRCOM
❑ Approach   <u>**550A**</u>
      Biosafety   ❑ Type of Request
❑ Keywords   ❑ Inhouse Project #
❑ Research Codes   ❑ Budget
      BRCOM   Accounting Code
<u>**550A**</u>
❑ Type of Agreement
❑ Accounting Code (all)
❑ Extramural Performing Org
❑ Inhouse Project #
❑ Extramural Scientist Name & Title
❑ Budget

Funding Projects
An SCA can be funded by D, R, or T projects. Check to be sure that the ADODR
listed on the SCA is also listed on the in-house.

Accounting Code
IF D project is providing funds, use the current Management Unit accounting
code. Example: If $50,000 in FY 2002 funds is added, the accounting code
would be 20136XXXXX for a D project.

If a T or R (> $25,000) is providing funds, use the T or R current accounting
code **as long as** the funds have been received and the Area Budget & Fiscal
Office has posted the funds in ARIS.

➢ **Full** responsibility for manuscript quality has been delegated to the Research Leader.

➢ **Research Leader** will be responsible for the proper preparation and review of manuscripts that are authored by scientists in his/her unit.

➢ **Oversight** may be done by the RL or it may be delegated to a scientist in the unit with skills in research design and manuscript preparation.

➢ **Level of review** prior to submission to a refereed journal will be at the discretion of the RL.

➢ **ARS-533s** will be eliminated except in unusual cases when it is deemed necessary by the RL.If ARS-533s are required, the regulations have been waived that required the peer reviewers be located outside the author's (or authors') research unit.

➢ **When** the Research Leader's electronic signature is entered on the ARS-115 in ARIS, for all submissions OTHER THAN THOSE DEEMED SENSITIVE, this constitutes approval for the manuscript to be submitted for publication.

➢ **Submissions** regarding Sensitive Issues must have Area Director approval to be submitted for publication.

➢ **Area Director's** electronic signature entered on the ARS-115 in ARIS indicates approval for publication to be used in scientist performance appraisal packages.

➢ **A**rea Office** will review the ARS-115 Interpretive Summary and Technical Abstract fields before electronically signing.

Impact Reporting

What is impact? Impact is the difference research makes in people's lives. In more technical terms, impact is the reportable and verifiable difference a program makes in the lives of citizens.

Impact reporting lets the scientist:

- Provide public accountability
- Provide program accountability
- Show a return on an investment
- Foster a better public understanding of the entire picture of research
- Obtain future funding
- Increase awareness of all programs within our Agency

An impact statement is a brief summary, in lay terms, of the economic, environmental and/or social impact of research efforts. It states accomplishments and their benefit to society. An impact statement answers the questions, "So what?" and "Who cares?" "Why?"

The impact audience may be:

- The general public
- Local governing bodies
- State officials
- Federal officials
- Scientific peers
- External funding sources
- Industry representatives

The audience may:

- Exercise some kind of control over research programs
- Want information vital to decisions
- Have lots of competition for their attention
- Want quantifiable differences brought about by investments in research programs

The audience may expect change in at least one of the following areas:

- Societal/individual well-being
- Environmental quality
- Economic value of efficiency

In addition, potential impact should be considered, especially in basic research, when impact is hard to define in quantitative terms. Include the following information in impact statements:

- The most likely benefactors of the research
- Expected outcome and why
- An idea of how long it will take to reach expected outcomes
- Real or hypothetical examples of expected outcomes

To develop a quality Impact Statement, include:

- Impact area (audience, customers)
- Issues (research problem or area)
- What has been done (result: quantifiable facts or future expected outcome)
- Impact (use: social, environmental, economic)

Target the impact statement to whomever (everyone?) you want to understand that activity.

Grading Impact Statements:

- A = High Impact Value (Social, Environmental, Economic)
- B = Moderate Impact Value (Nice to know information)
- C = Low Impact Value (Nothing to show)
- D = No Impact Value (So what?)

LIST OF SENSITIVE ISSUES FOR ARS MANUSCRIPT REVIEW

UNIT AFFILIATION

DISCLAIMER

INTERPRETIVE SUMMARY GUIDELINES

PEER REVIEW

SENSITIVE DESIGNATION

PATENTABLE INFORMATION

AUTHORSHIP INVOLVING MORE THAN ONE AREA OR RESEARCH UNIT

TECHNICIAN AUTHORSHIP OF SCIENTIFIC PUBLICATIONS

COPYRIGHT

NON-DISCRIMINATION STATEMENT

MATRIX

PERSONNEL PICKS

JOURNAL OR EQUIVALENT

JOURNAL ACCEPTANCE DATE

INTERPRETIVE SUMMARY AND TECHNICAL ABSTRACT

USING SYMBOLS IN THE ARS-115

DETAIL BY AUTHOR REPORT

List of Sensitive Issues for ARS Manuscript Review and Approval by National Program Staff

February 2002 (Revised)

1. Creation of transgenic food or feed organisms by genetic engineering.

2. Studies of genetically engineered organisms in the field.

3. Cloning of animals by somatic cell nuclear transfer.

4. Somatic cell fusion to recombine DNA in ways that cannot be achieved through sexual crossing.

5. Dioxin research.

6. Plant, microbial and animal patent policy.

7. Agricultural practices with negative health and environmental consequences, eg., global climate change; contamination of water by hazardous materials (nutrients, pesticides, and pathogens); animal feeding operations or crop production practices that negatively impact soil, water, or air quality.

8. Boll weevil eradication program.

9. International plant germplasm policies.

10. Research findings and recommendations that are contrary to current dietary guidelines or may be used in food labeling.

11. Megadoses of nutrients that may be beneficial to human health/nutrition.

12. Radiolytic products in food.

13. Harmful microorganisms and their products (e.g., aflatoxin, mycotoxin, fumonisin, Salmonella, E. Coli) in agricultural commodities.

14. Pesticides or animal drugs in foods above approved tolerance levels.

15. All transmissible encephalopathy (TSE) research including BSE research.

16. Herbicide-resistant crop plant research.

17. Animal well-being/animal use.

18. Biological items that may affect trade and export negotiations, e.g., fire blight in apples, TCK smut, karnal bunt, insect infestations in export products, etc.

19. Narcotic plant control.

20. Methyl bromide topics that relate to policy and/or regulatory actions.

21. Medfly/Malathion replacements.

22. Antibiotic/Antimicrobial Resistance.

23. Bioterrorism/Attacks on Agriculture.

24. Glassy-winged sharshooter/Pierce's disease.

25. Sudden Oak Death.

26. Citrus Stem Canker.

27. Anthrax.

28. Emerging diseases or pest research that relates to policy and/or regulatory actions.

Policy on Redelegation of Authority to Approve Authorship of Scientific Publications

Agency policy authorizes Area Directors to redelegate, to respective Research Leaders, approval authority to approve authorship of scientific publications. Refer to Policies & Procedures 152.2, dated May 12, 1997, for further details at http://www.afm.ars.usda.gov/ppweb/

The MWA policy has been and continues to be the delegation of authority to each Research Leader to approve support scientists to appear as senior authors and technicians to appear as coauthors on scientific publications. Technician senior authorship continues to require prior approval from the Area Directors.

Follow Policies & Procedures 152.2 for criteria for approving authorship and be prepared to justify your decision if requested.

If you have any questions, please feel free to call the Area Program Analyst.

UNIT AFFILIATION ON MANUSCRIPT

Author affiliation on the manuscript must include all of the following:
    (a) Unit or Laboratory Name
    (b) Center Name (if applicable)
    (c) USDA, Agricultural Research Service
    (d) University Department Name and University Name (if applicable)
    (e) City, State, Zip Code

DISCLAIMER ON MANUSCRIPT

When proprietary or brand names are used, add one of the following disclaimers to the manuscript before submission:

"Mention of trade names or commercial products in this [article] [publication] is solely for the purpose of providing specific information and does not imply recommendation or endorsement by the U.S. Department of Agriculture."

"Names are necessary to factually report on available data; however, the USDA neither guarantees nor warrants the standard of the product, and the use of the name by USDA implies no approval of the product to the exclusion of others that may also be suitable."

INTERPRETIVE SUMMARY GUIDELINES

Interpretive Summaries are critical to the ARS-115 program, and should be written to relate the meaning or value of the research in terms understandable to the general public. The Agency uses them for decision making about resource allocations, budget development, program planning, technology transfer, and communication with Congressional and Executive Branch policymakers. An Interpretive Summary should include:

    1. A background statement explaining the problem.

    2. A description of what was found, not what was done.

    3. A statement stating why the results are important to the producer, consumer, industry, or other user.

Explain in terms that won't require a dictionary for your neighbor to understand. Don't use Latin names, jargon or scientific terms, and summarize the results in words, not data.

PEER REVIEW

The Peer Review process for manuscripts is waived. However, the process can be utilized if the Research Leader feels the manuscript would benefit. If the Peer Review process is waived, select "W" in the "Manuscript Peer Reviewed" field of the ARS-115.

SENSITIVE DESIGNATION

A list of SENSITIVE subject matter issues is in the Guide. This list applies
to all Publication Types listed in the MATRIX. The RL must note, with the
signature, "Yes" or "No" whether the ARS-115 should be considered sensitive
in subject matter, and each succeeding level of approval must also note, with
the signature, a determination on sensitive material. Each level has the
individual option of determination, and may or may not, nor has to, agree
with the preceding decision. An ARS-115 marked "Yes" for "sensitive" moves to
NPS for a final review. If NPS designates the ARS-115 as "sensitive, it does
not go into TEKTRAN. The "sensitive" designation serves to notify the AD and
NPS of research in these important areas.

Delay the submission of research findings to the journal or meeting until the
ARS-115 marked "sensitive" is approved in ARIS by NPS. Rarely are manuscript
approvals substantially delayed by this process.

PATENTABLE INFORMATION

If information is being published or presented that has patentable
information, the ARS-115 block "Due to patent potential, is retention of
intellectual property rights desired?" is to be marked "YES". If "YES," upon
completion of the approval process (RL-CD-AD-NPS-ADA-OCI-Patent Advisor), the
ARS-115 will move to "ACTIVE" status in ARIS. The ARS-115 will be held in the
ARS "ACTIVE" database during the review process by the Patent Advisor. While
in the ARS "ACTIVE" database, the publication may be viewed by anyone in ARS.
The publication will be moved to TEKTRAN either after a patent has been filed
or a determination made that no patent will be filed. At that time, the
publication may be viewed by anyone with access to TEKTRAN.

A patent application submitted during a current Performance Appraisal Period
or an ARS-115 with patentable information which does not appear in the ARS
"ACTIVE" database at the end of the Performance Appraisal rating period may
be included in the Detail by Author Report by the Research Leader penciling
it in.

"Z" – "Patent Application" PUBLICATION TYPE may be used to update the ARS-115
database when a patent application has been granted a #.

AUTHORSHIP INVOLVING MORE THAN ONE AREA
OR RESEARCH UNIT

The approval process should be initiated by the most SENIOR ARS author and
the ARS-115 initiated electronically by the Research Unit of the CRIS
Project, predetermined by the authors. The ARS-115 and enclosures should go
FIRST to the RL(s) of the OTHER ARS author(s) for signature and LAST through
the SENIOR author's RL, CD. This is also the time to obtain clearance by any
cooperative agencies and/or institutions.

TECHNICIAN AUTHORSHIP OF SCIENTIFIC PUBLICATIONS

It is only under exceptional circumstances that the contributions of a
technician will serve to warrant JUNIOR authorship of a publication. This

decision has been delegated to the Research Leader, who will follow P&P 152.2, "Authorship of Research and Technical Reports and Publications," dated May 12, 1997, and provide justification for the decision if requested.

Senior authorship by anyone other than a Category 1 2 or 4 scientist will need prior approval by the Area Director. See P&P 152.2.

COPYRIGHT

An ARS employee has no right of copyright for published material. Per Copyright Law, Government products cannot be copyrighted, and articles written by a Federal employee as part of his/her official duties are Government products and, as such, can be freely copied by the public.

In responding to a publisher's request to sign a transfer of copyright, the ARS employee should return the form unsigned with the following statement:

"The article cited was prepared by a USDA employee as part of his/her official duties and cannot legally be copyrighted. The fact that the private publication in which the article appears is itself copyrighted does not affect the material of the U.S. Government, which can be reproduced by the public at will."

NON-DISCRIMINATION STATEMENT

Any document that requires approval from the Information Staff prior to publication and will be distributed outside ARS will need the following Non-Discrimination Statement:

"All programs and services of the U.S. Department of Agriculture are offered on a nondiscriminatory basis without regard to race, color, national origin, religion, sex, age, marital status, or handicap."

MATRIX

TYPE	JOURNAL OR EQUIVALENT	ABS. ONLY *	FIRST FORMAL REPORT **	INTER. SUMM.	TECH. ABS.	PEER REVIEW
J	Peer Reviewed Journal	No	Yes	Yes	Yes	Waived
G	Germplasm Release	No	Yes	Yes***	Yes	No
A	Abstract	Yes	No	No	Yes	No
P	Proceedings/Symposium	Yes	No**	No	Yes	Waived
B	Book/Chapter	Yes	No**	No	Yes	Waived
R	Review Article	Yes	No	No	Yes	Waived
X	Other	Yes	No**	No	Yes	No
N	Research Notes	Yes	No	No	Yes	Waived
L	Literature Review	Yes	No	No	Yes	No
V	Government Publication	Yes	No**	No	Yes	Waived
T	Trade Journal	Yes	No	No	Yes	Waived
M	Monograph	Yes	No**	No	Yes	Waived
E	Experiment Station	Yes	No**	No	Yes	Waived
O	Popular Publication	Yes	No	No	Yes	Waived
Z	Patent Application	Yes	No	No	Yes	No

* If the publication is an "Abstract Only," mark that block on the ARS-115 "YES" and the "First Formal Report Other than Abstract," "NO."

** If the publication is a "First Formal Report Other than Abstract," mark that block on the ARS-115 "YES" and the "Abstract Only," "NO" and an "INTERPRETIVE SUMMARY" is required.

The ARS-115 "Abstract Only" and "First Formal Report Other than Abstract" blocks cannot both be marked "YES" or both "NO".

*** Germplasm Release is considered "First Formal Report", however, an Interpretive Summary need not be written. Enter statement such as, "This is a Germplasm Release, no Interpretive Summary Required."

PERSONNEL PICKS

ARS Submitter, Contact Scientist and Author names are selected from the Personnel file that's kept by National Finance Center (NFC) in New Orleans, and entered into ARIS by the HQS computer staff weekly; anytime a personnel change occurs it takes a period of time to get processed by NFC and then another period of time to get the change into ARIS.

A personnel action to change the Personnel file at NFC should be initiated if the scientist prefers the name to appear differently than what shows when selected.

After selecting Author(s) from within the MU, Authors from other MUs or non-ARS Authors may be added. Author entries may be modified or deleted.

JOURNAL OR EQUIVALENT

The Journal or Equivalent is selected from a constantly changing Journal Table.

Only people at the Area or HQS level can be add to, delete from or modify the Journal Table.

If the journal isn't found, an Email message should be sent to the Program Analyst to enter the journal name needed.

The journal name should be the name of the publication in which the research will be published. The Journal Table will be accurate only if the correct name is entered, so if the scientist will provide the correct name each time an ARS-115 entry is needed, it will help ensure accuracy. If an incorrect name is found, please contact the Program Analyst, who will modify or delete it.

JOURNAL ACCEPTANCE DATE

The Journal Acceptance Date field is to be modified as soon as the scientist receives notification of acceptance of submission, a publication date or the URL for the journal in which the manuscript is published to add.

A Journal Acceptance Date is to be added to the appropriate ARS-115 from the Active ARIS database. Creating a Work Record to send through the various approval levels is not necessary.

INTERPRETIVE SUMMARY AND TECHNICAL ABSTRACT

Prepare the Interpretive Summary or Technical Abstract offline in word processing software. Copy and paste to the appropriate Interpretive Summary and/or Technical Abstract fields in the ARS-115.

USING SYMBOLS IN THE ARS-115

ARIS does not allow the use of Scientific Notations (symbols).

DETAIL BY AUTHOR REPORT

December 13 is the cutoff date for ARS-115 entry and submittal to the Area.

December 31 is the cutoff date for publications to be included in the documentation for current Performance Appraisals.

A copy of the Detail by Author Report is to be included with all Performance Appraisal documentation.

ARS-115s are maintained 3 full years in ARIS and then archived.

ANNUAL RESEARCH PROGRESS REPORT (421)
Supplement to ARIS On-Line Chapter
15E

Project Termination Information

421 Annual Report System

✓ The 421 Annual Research Progress report is required annually.
✓ The 421 system for annual research progress reports is open only once a year during the timeframe of June-September using the ARIS 421 Annual Report System.
✓ The timeframe for Management Units to submit annual research progress reports to the Area is mid-June through August (timeframes vary slightly depending on the respective Area).

421 Termination Process

✓ Beginning in 1999, projects were no longer processed as terminated throughout the year.
✓ Projects can exist no longer than five (5) years (60 months).
✓ When an inhouse ("D") project is replaced, the funds are moved to a new research project, either a replacement project or redirected to an already existing project.
✓ If a project expires throughout the year, the project is placed in expired ("X") status, and the annual research progress report is held and completed during the open season.
✓ The 421 Annual Research Progress Report is required when a project has EXPIRED in order to TERMINATE it.
✓ Projects showing an 'X' in the STATUS column on the 416/417 Active Projects list screen must be Terminated via the 421 Annual Research Progress Report should entered into ARIS during the 421 open season..
✓ All projects are required to submit an annual research progress report, including specific cooperative agreements (S), grants (g), trusts (T), and reimbursables (R).

Responsibilities

The Headquarter's Program Analyst (PA):
   ✓ Expires (places 'X' on) 'D' type projects.
   ✓ States in Remarks: 421 Annual Research Progress Report required to Terminate project.
   ✓ BPMS transfers the funds to an approved project (originally initiated by the MU).

The Area Program Analyst:
   ✓ Expires (places 'X' on) sibling project types T, R, S, C, G.
   ✓ States in Remarks: 421 Annual Research Progress Report required to Terminate project.

The Lead Scientist:
   ✓ Responsible (with consultation of other SY's) for providing the information for the 421 Annual Research Progress Report.

The Management Unit Secretary:
   ✓ Enters the 421 into ARIS during the open season.

Annual/Fiscal Progress Report exceptions:

   ✓ If a project has a one-year or less duration, a report is required.
   ✓ Be sure to answer "Yes" if this is the **only and last report (in order to terminate it)**.
   ✓ If a project terminates in October or November of the fiscal year, in the prior fiscal year, remember to answer "Yes" to indicate this is the

last report. No additional reports will be required.
✓ If the project will be expiring in the first two months of the next
fiscal year (October thru November 30), place a "Y" in both questions
and this project will be terminated at the end of the current FY annual
report cycle (approximately December/January).

NOTE: This is called the two month grace period. If a project expires
within the first two months of a fiscal year (reporting period), an Annual
Research Progress Report is not needed for that fiscal year. The previous
fiscal years' 421 will be the final progress report and should be written
as such. If the project is not at its five year maximum duration and there
is a chance that the project is going to be extended, a "Y" should not be
designated.

So...

> **Adding** an AD-421 to a project during this Annual Research Progress Report
process is the only way projects are terminated in RMIS.

> **Answering** 'yes' to the question "Would you like to terminate this project?"
and adding an AD-421 will terminate that project in RMIS.

> **Answering** 'yes' to the question "Will this project terminate within the
first 2 months of FY 20XX?" and adding an AD-421 will terminate that project
in RMIS. The first 2 months of a FY are October and November.

421 Hints

* **Old** project - project that is at 60 months limit and using project plan
that began 60 months ago - due for termination.
* **Temporary** bridging project - continuation of old project and still using
project plan that began 60 months ago - new AD-416/417.
* **New** project - project using brand new project plan - new AD-416/417.

> **If** you have an old project, refer to the temporary bridging project and
write the responses for the time the old project was in place.

> **If** you have a temporary bridging project, indicate it's a continuation of
the old project and write the responses for the time the temporary bridging
project has been in place.

> **For** the new (been thru peer review process with OSQR) project, refer to the
old project but write responses using the goals and objectives of the new
project plan.

Examples of Answers to Questions

6. What do you expect to accomplish year by year, over the next 3 years?

This is the final annual report for this project, which has been bridged to 3602-22000-011-00D.

5. Describe the major accomplishments over the life of the project, including their predicted or actual impact.

This is the temporary bridging project for 3611-21220-004-00D, initiated 3/29/01. This redirected research will examine the interactions of soybean plants and associated viruses and insect vectors with the goal of reducing the economic impact of virus diseases on soybean production. With the recent introduction of the Asian soybean aphid into the United States and its importance as a vector of viruses in Asia, emphasis initially will be placed on aphid-transmitted viruses including members of the Potyviridae and Luteoviridae families of plant viruses.

5. Describe the major accomplishments over the life of the project, including their predicted or actual impact.

This is the temporary bridging project for 3611-22000-009-00D. Major accomplishments for the life of the project can be found in the annual progress report for 3611-22000-009-00D.

6. What do you expect to accomplish year by year, over the next 3 years?

This is the final annual progress report for this project which expires 9/30/01 and has been bridged to 3611-21000-015-00D. We've listed future expected accomplishments below:
We are receiving stocks generated by the new Plant Genome Projects funded by NSF. Using external funds that we received from NSF, we have hired an additional Research Specialist who is responsible for the new stocks generated by the project "Maize Gene Discovery, Sequencing and Phenotypic Analysis", in which we are involved along with Virginia Walbot and others in the maize community. This material will increase greatly over the coming year. We anticipate that this and other projects recently funded by the NSF Plant Genome Program, will greatly enhance our collection along with greatly increasing our understanding of maize as a biological organism. We will continue increasing newly received stocks and maintaining our collection and distributing stocks upon request. We will continue to analyze mutants in our collection as funding permits.

6. What do you expect to accomplish year by year, over the next 3 years?

This is the final annual progress report for this project which terminated March 28, 2001. Future expected accomplishments for redirected research are detailed in temporary bridging project 3611-22000-013-00D.

6. What do you expect to accomplish year by year, over the next 3 years?

Future expected accomplishments can be found in the temporary bridging project 3611-21000-014-00D.

Helps

Uses

- **National Program Annual Reports** – Every year, NPS drafts an annual report for each National Program summarizing the major accomplishments of that program. The National Program Annual Reports are available at http://www.nps.ars.usda.gov/. At the left of each National Program (NP) statement is a link to the National Program Annual Reports for FY 1998, 1999 and 2000, etc. In addition to the summary report, each AD-421 report associated with that National Program is also available.

- **Budget Process** – Selected major accomplishments will be highlighted in our budget submission to Congress to help support our request for funding. The Status of Program section from the budget document is available on an internal web site at http://www.npstaff.ars.usda.gov/progstatus. It is not currently a public document.

- **Press Potential** – The Information Staff is always looking for information that might gain media coverage for ARS research. NPS identifies accomplishments that may have media potential and refers them to the Information Staff.

- **Briefing Materials** – NPS is called on constantly to provide briefing papers on a wide variety of topics to serve various purposes. Information contained in the expanded AD-421s helps meet this important staff support role to the Department.

General Comments

- **Who is the Intended Audience?** The AD-421 is not a technical document, and it should be written to be understood by our customers, stakeholders, and interested members of the general public.

- **What is an Accomplishment?** An accomplishment is 'something successfully completed.' A list of activities, a progress report, or proposed plans isn't the same as an accomplishment.

- **What is the Proper Length?** The length of the AD-421 is not, in itself, an issue. Length limitations aren't imposed but unnecessarily long project reports defeat the purpose of this process. Reasonable self-regulation in deciding how much information and detail to include in the report is expected.

- **How are Intellectual Property Rights (IPR) Protected?** The problem of protecting intellectual property rights in a public reporting process such as this one is understood. But, an AD-421 that basically says we cannot

tell you anything about our work because it might jeopardize an intellectual property right is not acceptable. **If the scientist believes he/she has made a patentable invention or may have a future patentable invention, he/she must consult with the patent advisor to review the written description of his/her research results to avoid making a disclosure**. The Agency needs to know, and the public has a right to know, what research is being accomplished with the funds made available. With careful drafting, a meaningful annual report without disclosing IPRs can be completed. If an accomplishment is withheld to protect IPRs, make sure that accomplishment is reported in the first project report after the patent application has been filed by ARS at the U.S. Patent and Trademark Office.

- **Avoid Including "Sensitive" Information**. Whenever possible, discussion of potentially sensitive information, such as strategies for resolving international trade disagreements, recommendations of specific agro-chemicals, or not yet fully developed approaches for solving some potentially controversial issues, should be avoided. If "sensitive" information is included in the AD-421, alert the Area Office for a special review.

- **Public Document - unless otherwise indicated, assume that all of the information given in the AD-421 will be made public**. Avoid technical or other terminology that might not be easily understood by our customers, stakeholders, and interested members of the general public. Do not use an acronym unless it's spelled out the first time it is used.

Questions

1. **What major problem or issue is being resolved and how are you resolving it?**
   NOTE: Once developed, the answer to this question can be used each year during the life of the project with only minor editing as needed.
   - ✓ Provide a concise overview of the problems and objectives being addressed.
   - ✓ Explain the approaches used to resolve them.

2. **How serious is the problem? Why does it matter?**
   NOTE: Once developed, the answer to this question can be used each year during the life of the project with only minor editing as needed.
   - ✓ Explain to whom the research is relevant/the potential impact.

3. **How does it relate to the National Program(s) and National Program Component(s)?**
   NOTE: Once developed, the answer to this question can be used each year during the life of the project with only minor editing as needed.
   - ✓ Identify the NP(s) and percentage(s) the project is specifically coded to support.
   - ✓ Describe, in one or two sentences, how the research supports that National Program(s) and its components.
   - ✓ Provide, if the research contributes to National Programs other than the one(s) it is specifically coded to support, a brief description of the

significant interactions.
- ✓ Identify and very briefly describe any other projects, both ARS and extramural cooperative projects, worked on collaboratively, to achieve these objectives.

4. What were the most significant accomplishments this past year?
- ✓ THIS FORMAT IS REQUIRED IN PREPARING BUDGETARY DOCUMENTS JUSTIFYING OUR REQUESTS FOR APPROPRIATIONS. It is in the project's interest to have its accomplishment recognized and used in a timely manner. Do not rely on the National Program Teams' familiarity with the work to assure proper recognition.
- ✓ For "new" or "bridging/interim" projects, briefly capture the work and accomplishments of the previous year, thus providing a sense of history and continuity unless that work is included in another (close-out) AD-421. If the work is truly new and does not build on an earlier project or if the work has been redirected into new areas, a brief explanation can be inserted here.

NOTE: Write accomplishment in a <u>four-sentence</u> paragraph, with <u>one sentence</u> addressing <u>each</u> of the following questions, <u>in this order</u>:

A. Single Most Significant Accomplishment:
- ✓ Why did we do the research?
- ✓ What was done and where (include collaborators/cooperators, if any)?
- ✓ What was the specific accomplishment in the FY reporting period?
- ✓ What was (or could be) its impact, outcome, etc.?

B. Other Significant Accomplishment(s), if any.
- ✓ For additional significant accomplishments reported, follow the format described in 4A.

C. Significant Accomplishments/Activities that Support Special Target Populations.

NOTE: 1)If there are no accomplishments to report here, state "none."
2)Use no more than 10 lines of text.
- ✓ **Report here only** if there are specific accomplishments, activities, or special outreach efforts that directly benefit the target populations (small farms - defined as under $250,000 annual gross receipts; or "socially disadvantaged/limited resource" producers).

D. Progress Report
NOTE: OPTIONAL FOR ALL IN-HOUSE [D] PROJECTS; MANDATORY FOR SIBLING [R,S,T,G,C] PROJECTS
For inhouse projects:
- ✓ Briefly describe progress of any significant milestones, or other important information achieved (no reporting of activities occurring before 10/1/01) to report to the National Program Team and the public.

FORMAT: Succinct header followed by no more than 10 lines of text.

For Sibling Projects:
- ✓ For all subordinate projects with the exception of certain projects that require AD-421s, only **Question 4D** will now be required. All of the other questions are optional. In Question 4D, a progress report of the project over the last year will be sufficient. A reference to the

associated inhouse parent project must be included. Although the length of Question 4D is unlimited for subordinate projects, the report should be concise.

✓ The progress report should begin by stating who the project is with (the outside organization) and what inhouse project it is associated with, including project number and project title (Example: "This report serves to document research conducted under a reimbursable agreement between ARS and the U.S. Fish and Wildlife Service. Additional details of research can be found in the report for the parent project 6225-12320-001-00D Soil Erosion Research.")

✓ Major accomplishments of the subordinate projects (accomplishments at the level where they are candidates for inclusion in the National Program Annual Report, the budget, and/or GPRA documents) should be captured and reported in the parent project's AD-421, with credit as appropriate (e.g., cite work of cooperator).

5. Describe the major accomplishments over the life of the project, including their predicted or actual impact.
    NOTE: 1) The "life of the project" refers to the duration of the current project.
        2) Once developed, the answer to this question can be used each year during the life of the project with only minor editing to include recent accomplishments as needed.
        3) Do not include accomplishments described in Question 4.
        4) For "new" or bridging" projects, briefly report the work and accomplishments of the previous project, thus providing a sense of history and continuity. If the work is truly new and doesn't build on an earlier project or if the work has been redirected into new areas, insert a brief explanation here.

6. What do you expect to accomplish, year by year, over the next 3 years?
    ✓ GPRA requires ARS to submit an Annual Performance Plan (APP) each year with its budget request. The APP lays out a number of significant accomplishments/outcomes which the Agency expects to achieve with the funds requested. The APP looks ahead for 3 years. The NP teams will review the anticipated accomplishments identified in the AD-421s and select the ones that will be used in the APP. Not every project will have a significant accomplishment every year and NPS recognizes the difficulty of predicting future research outcomes, but if able to do so, it will assist NPS in developing the GPRA APP.
    ✓ Identify anticipated accomplishments for each of the next 3 fiscal years.
    ✓ If the projected accomplishments reported last year or the year before need to be updated, revise them and include a brief explanation of why the change(s) was necessary.

7. What science and/or technologies have been transferred and to whom? When is the science and/or technology likely to become available to the end-user (industry, farmer, other scientists)? What are the constraints, if known, to the adoption and durability of the technology products?

NOTE: See the general comment on the following page regarding Intellectual Property Rights.
- ✓ What knowledge, cultural practices, technologies, etc., have been transferred to potential users during the FY?
- ✓ Identify more tangible accomplishments such as CRADAs, licenses, patents, field days, and other formal steps that have been taken to put information in the hands of users.
- ✓ **Do not** list activities or publications.
- ✓ **Do not** include the names of individuals or corporations to whom technology has been transferred; identify them using terms such as producers, other scientists, consumer organizations, processors, shippers, etc.

8. List most important publications in the popular press and presentations to organizations and articles written about the research.
NOTE: This does not replace peer-reviewed publications listed in Question 9. Peer-reviewed publications in scientific journals and major presentations to scientific or professional organizations should be entered under Question 9.
- ✓ Enter only non-peer-reviewed publications.
- ✓ Enter items in this section only once, in the year they were published or presented.
- ✓ Enter only the most important items.

9. Scientific Publications.
NOTE: Only enter those publications that have been printed and have not been included in previous annual reports.
- ✓ Enter peer-reviewed publications and major presentations (abstracts) to scientific and professional organizations in this section that have an approved ARS-115 Manuscript Approval.

Format for Scientific Publications

Standard citation format for journal articles as follows: The citation must include the following information in the same sequential order:
- ✓ Author(s) [Surname, First Initial, Middle Initial]. All authors should be listed in order of authorship.
- ✓ Title [Full article title, including punctuation.]
- ✓ Journal title [Full journal title.]
- ✓ Chronology [Date of journal issue. May include year only; or year, month and day.]
- ✓ Enumeration [Give volume and issue in format 'v. 10(5)' where 10 is the volume number and 5 is the issue number.]
- ✓ Pagination [Give the beginning and ending pages, preceded by 'p.'].

Modecode/Log Number:
Location/Management Unit Name:

Contact: Type:

Series: Telephone:

Purpose of Funds: Type of Service:
Type of Agreement:
Remarks:

Source of Funds: Type:

IPSC:
Requesting IPSC Waiver: Waiver approved by BPMS:
Why are you requesting IPSC?

Do you or any full-time resident of your household have any activity or financial
interest (dealings) with the Cooperating Organization?

Start Date: End Date: Duration: (months)

How are funds to be used?   ARS FTE: Total Proposed:
   Category 1 Salaries: Supplies: Equipment:
   Other Federal Salaries: Travel: RSA:
   Other Costs:

Value of Owned or Controlled ARS Buildings & Land Utilized:
   (Filled out for CRADAs)

Title of Proposal:

Type of Work to be Completed:

```
Work to be Performed:
Extramural Agreement Type:
Principal Performing Organization:
                                        Extramural Amount:


If part or all of the funds will be used for extramural research, give reason:



Title of In-house Project:


                                        Project Number:
                                        Accession:

Is the proposed research directly related to the In-house project of the SY?

Subject of Investigation from In-house:

STP Codes from In-house:
```

Describe the deliverables that the Agency will provide the funding organization:

Will this research require more FTE than currently available to SY/MU?
   Number of FTE needed:

Supplemental Questions to be Answered:

Is ARS receiving dollars into the ARS accounting system from the funding source or granting institution?

If ARS is receiving dollars, will an ARS employee be hired?

If ARS is receiving dollars, the money will be distributed in the categories below.

```
Equipment                  _____
Supplies                   _____
Travel                     _____
RSA                        _____
Other Federal Salaries     _____
Other Costs                _____
```

These categories are mostly self explanatory, except that:

Other Federal Salaries is the category used for the salaries of hired ARS employees, i.e., technicians, postdocs.

University personnel salary costs & fringe benefits hired through the Research Support Agreement (RSA) are placed in the RSA category.

Outside funds coming into ARS and then going back out to a Specific Cooperative Agreement (SCA) go in the Other Costs category.

If ARS is not receiving the money, the categories above are left blank, and the selection for the field "Work to be Performed" is "In-house."

Where is document to be published? (Journal name, meeting, etc.)

_____

As what? (Manuscript, Abstract, Poster, Technical Bulletin, etc.)

_____

Is it the first formal report? (Other than Abstract)

_____

Is it sensitive? (See List of Sensitive Issues)

_____

Is it patentable? (If unknown, check with Patent Advisor)

_____

The answers to these questions will assist you in the proper entry
of the ARS-115 into ARIS.

Sustainable Agriculture Research Classification Form

Project No._____   Project Title:_____

Project Location_____

Integrated System of Plant and Animal Production Practices	Detracting from Sustainability	No Direct Impact	Contributing to Sustainability
• Whole -farm system analysis activities: • Holistic and interdisciplinary, including • Noncontrolable variables (e.g. rain, soil texture). • External inputs (e.g. fuel, fertilizer, seed). • Farm/Ranch ecosystem dynamics, and • System responses, with emphasis on use of on-farm resources.	-1	0	+1

Satisfy Human Food and Fiber Needs

• Research on long-term optimization of food or fiber production that is • Safe, and • Nutritious			

Enhance Environmental Quality

• Studies of off-site and on-site impacts of agriculture on environmental quality or development of • Research designed to enhance environmental quality through the development of technologies and procedures that minimize degradation or restore the quality of soil, water, atmospheric or organic resources			

Natural Resources Conservation

• Research that promotes the development of technologies and practices designed to conserve • Soil • Plant • Nutrient • Water • Energy • and Organic Resources			

Biological Resource Utilization

• Research leading to development of technologies and practices that promote the use of beneficial biological resources, with • Emphasis on use of on-farm resources			

Economic Viability

• Research to develop practices and systems that minimize risk and • enhance the economic viability of farming operations, and • Procedures to avoid overloading and depressing commodity prices, with • Emphasis on the 21st Century Family Farm			

Quality of Life

• Research designed to enhance quality of life of • Farmers, • Rural communities, and • Society as a whole, through • Emphasis on local value added technologies and • Entry opportunities for beginning farmers			

Rate each criteria with -1, 0 or +1 to obtain final score:			